

APHIS PROGRAM PLANNING GUIDE

This is the Animal and Plant Health Inspection Service (APHIS) Program Planning Guide. It is intended for all APHIS program managers to assist them in their planning efforts. It consists of general guidance about the key components of strategic, operational (action), refinement, and business planning.

The Guide also serves as a quick reference for managers, as it contains a variety of planning templates, checklists, sample memos, and additional planning references that may be useful sources of more in-depth information on particular aspects of planning. I hope that you will use this Guide on a regular basis as you prepare your various planning documents. APHIS has been effective in carrying out its basic mission, in part, because of its ability to anticipate issues of concern and react accordingly. Our ability to plan even more strategically can only enhance our effectiveness and our success. As APHIS continues to manage these issues, it becomes increasingly clear that having solid planning skills also are vital to minimizing or preventing any negative consequences that can potentially result from these threats.

The Program Logic Model is described and included as an important tool when explaining basic program rationale to Congress, stakeholders, and other Federal and State agencies or partners. There is also a section devoted to Administrative Management Planning that emphasizes important components of operational planning in emergency situations.

Updating this Guidebook will occur on an as-needed basis to incorporate managers' suggestions, changes in legislation, and general improvements. Comments should be sent to:

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APHIS Program Planning Guide

*Helping Program Managers Ensure High
Quality Performance*



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For additional copies or other information, please contact PPD-PEM at 301-734-8511

Introduction

APHIS is an action-oriented Agency within the U.S. Department of the Agriculture. Its primary mission is to protect the health and value of American agriculture and natural resources. This protection mission requires APHIS to quickly develop new programs and emergency response plans as new risks and challenges arise. This guide provides key planning information that APHIS managers need to include in program proposals reviewed outside the agency. The information applies to both emergency response proposals and plans, as well as new or established program initiatives designed to address ongoing APHIS' mission-related issues.

The intent of this Guide is to identify and provide assistance to APHIS program managers as they prepare these program proposals. While APHIS managers understand the technical aspects of their work, they have not always clearly communicated to decision makers important information such as the basic rationale behind the proposed actions, the different alternatives that were considered to address a problem, and the consequences associated with these different alternatives. These decision-makers also need to know where the proposal fits within the overall APHIS and USDA planning process.

The foundations of this planning process include **strategic plans** that set long-term agency or program delivery unit goals and strategies, **operational or emergency response plans** that detail how program units will implement strategies and achieve programmatic goals, and **program refinement plans** that help programs become more effective and efficient.

This notebook focuses on five key areas:

- Developing Strong, Defensible Basic Program Rationale
- Conducting Good Strategic Planning
- Creating Clear, Useful Operational (Action) Plans
- Integrating the Legal and Administrative Functions into the Planning Process
- Evaluating Programs for Performance (Effectiveness & Efficiency) and Refining

The Guide is separated into eight sections that cover these key areas, and it provides samples and templates. It also contains an overview of the Incident Command System (ICS) for use in emergency situations, and a checklist for new program proposals. There is also a list of helpful planning references that program managers can use to learn more about the topics covered in the Guide. **It will not include planning associated with standard technical procedures for field operations.**

A Planning Overview: Areas Covered by this Guide

Strategic Planning:

- This is Big Picture Planning: Where does the organization or program want to go over the next 5 years?
- It takes a great deal of time and energy (focus) from top leaders.
- It should not be done in a hurried fashion because it requires coordination with external stakeholders, industry input, and trend analysis.
- Good strategic planning must be integrated with financial/budgeting projections, and take into account technological advances, shifts in political climates, etc.
- No administrative issues addressed in strategic planning process

Strategic Planning is important when the Agency is developing a new program based on new or expanded functional areas. It is important to do when there is significant expansion of a current type of work, or when there is a significant shift in the way business is getting done. Examples include situations when a breakthrough in science or technology alters the way work needs to be done; when there is a significant shift in “consumer demand” for a product or service; or when there is a significant change in the cost of doing business. Strategic planning must be done by top leadership, not by mid-level management and below.

Operational Planning (in a Non-Emergency Situation)

- Generally done after strategic planning is complete and requires input from mid-level managers and below.
- Operational planning sets a course (roadmap) for how the organization or program will accomplish its long-term strategic goals.
- It requires more internal focus than at the strategic level and is usually done in increments of 1 year or less.

- Milestones and targets are established for agreed-upon unit of time that tasks are to be completed.
- Task assignments are made to individuals or units, with set deadlines and deliverable products identified.
- Clear budgets for accomplishing agreed-upon tasks are developed.
- Regular monitoring for results begins at this level.

Operational Planning in an Emergency Situation

- There is no time for formal strategic planning under an emergency circumstance, however, there should be basic strategies already identified.
- Planning generally involves same tasks as under a non-emergency situation, but on shorter time-frames, or operational planning at warp speed! (Greater urgency)
- Targets/goals and milestones are identified on a weekly, daily, or even hourly basis, depending upon the nature of the emergency.
- Goals are generally very straightforward and of an immediate nature.
- Contingency or scenario planning is often more important here than in other planning situations due to constant flux of situation.
- Monitoring for results is done frequently—maybe daily or more often if required. Adjustments are made accordingly.

Planning for Greater Effectiveness and/or Efficiency:

- This type of planning is usually done once a program has been established for a time, regardless of whether it's an emergency situation or a non-emergency situation.
- A certain level of evaluation or reflective learning has already occurred, however, additional input from field personnel is a great source of data.

- Results data gets examined and analyzed, along with the program logic model. A comparison of the logic model with the results information is made.
- Adjustments are made to functional processes, program logic gets refined if necessary, new targets/ milestones are set.

Note: Administrative Issues: Managing the Administrative Issues in all situations, including emergencies, requires good planning and attention to detail. These are important components of any planning effort below the Strategic level. Issues like contracting, workforce planning, compensation, recruitment, training, worker safety, and information technology all need to be addressed in the early stages of new program work. Detailed information on some of these issues will be provided later in this Guide.

Basic Program Rationale

Good planning efforts begin with a modeling process that clarifies the rationale of the proposed program using a systematic and logical framework. This framework “forces” the planners to consider every program aspect to determine whether there is a logical and strong relationship between each aspect. In the long run, this process will help ensure smooth and effective execution of the plan, saving time and other resources.

One key element in this initial step is to make sure all relevant players, other agencies, key stakeholders and even other APHIS program managers, who may have a role in executing the proposed program, are involved in developing this program logic model. A joint planning effort can work out any differences in perspectives and/or approaches before program implementation begins, thus avoiding confusion and conflict and saving time when action is most critically needed.

The value of identifying and documenting the basic program rationale—the logic behind the actions—cannot be over emphasized. In the past, many APHIS program managers have not documented this program logic, relying primarily on their previous experiences in similar situations, their technical expertise and their intuition. For the most part, this has been a successful strategy. However, as program goals and strategies become less straightforward (as mentioned earlier) it is more critical than ever to “map” program logic to serve as a critical communications tool for the agency’s stakeholders, USDA officials, and for those expected to carry out the program activities on the ground. Without such a “map” describing why a particular level of staffing or a particular type of work will lead to the desired outcome, those asked to “execute” the plan may not have an understanding of why they are involved in certain tasks. This may contribute to poor decision making. In addition, those being asked to finance the plan may not have a clear understanding of why a certain level of resources are required to accomplish the desired outcome, making it more difficult for them to be strong advocates.

Step 1

The first step in program logic modeling is to identify the program’s **INPUTS, ACTIVITIES, OUTPUTS** and **OUTCOMES**.

Inputs: Include anything used to run the program, including people, time estimates, equipment or technologies, dollars, and even authorizing legislation, rules or regulations.

Activities: Actions and tasks performed to achieve the intended outcome.

Outputs: The tangible goods or services derived from the activities—what the customer receives.

Outcomes: The things that occur as a result of the outputs. These “things” may be more intangible or indirect the further out you “map” them. That is to say, there are almost always layers of outcomes (immediate, intermediate and ultimate) to consider.

Step 2

Next, it is critical for planners to identify external factors that could influence the program outcome. Generally these factors cannot be controlled by the program manager, but there may be some level of influence a program manager has on some of them. In any case, clearly listing these external factors enables managers to consider the wider array of consequences that could occur in real life and allow for contingency planning around various scenarios. Figure 2 represents a typical workflow diagram we suggest be used when mapping the program logic.

Logic Model Tutorial

One web source of information on this topic is included below: (see reference)

<http://www.uwex.edu/ces/lmcourse/#>

Figure 2**Problem or Issue Statement:****Program Goal:**

Inputs	Activities	Outputs	Intermediate Outcomes	Ultimate Outcomes

As you map out the program logic, it may be helpful to consider several questions.

1. Have we accurately described what happens if we don't do the work? That is, what is the seriousness or urgency of the problem and what are the anticipated consequences of doing nothing? Summarize briefly in the Problem or Issue Statement and then describe in greater detail in the action plan.
2. Have we clearly identified and communicated how the actions/activities performed will actually contribute to the desired outcome?
3. Have we defined our rationale with facts, research findings, or empirical data?
4. Does the ultimate outcome, as listed in the current program logic model, still represent the most reasonable or appropriate goal for the program?
5. How will some of the external factors influence the way work gets done or the timeframe for accomplishing various goals?

Again, at first glance, program managers may argue this mapping is unnecessary because it's already in their heads—it's obvious and intuitive. This may be true in many cases, but not in all cases. Kessler and Kelley (*The Business of Government, 2000*) refer to program logic as the business logic model, and make the case that public sector programs are more similar than different from private sector managers in the business strategies they need to develop. Just as in a for-profit business, benefits to developing business or program logic modeling include:

- Clear delineation of what the program does daily, and the benefits derived from those activities
- Illustration of outputs, immediate outcomes and less obvious intermediate and long-term outcomes
- Identification of exogenous (uncontrollable) factors that can negatively impact program outcomes
- Identification of other public sector program with the same or very similar issues and focus
- Involvement of managers and staff in critical analysis of how programs operate and the cause-and-effect relationship they have with the external environment
- Identification of results and outcomes, and analysis of whether the existing processes/approaches can achieve the intended results
- Development of a focused, aggressive business plan for the program under scrutiny

APHIS Program Logic Model: Various Examples

Case 1: An Emergency Response to a Plant Pest – Emerald Ash Borer (EAB)

Problem Statement: The Emerald Ash Borer (EAB) threatens American and Canadian ash resources, posing potential damage in terms of billions of dollars, environmental damage, and long-term changes to the North American forest structure.

Program Goal: To protect American and Canadian ash resources by containing and eradicating EAB using the best scientific practices and tools.

Inputs	Activities	Outputs	Intermediate Outcomes	Ultimate Outcomes
Funding Equipment & Supplies: <ul style="list-style-type: none"> - vehicles, - contracted tree cutting equipment, - wood chippers, - cherry picker trucks Personnel <ul style="list-style-type: none"> - Entomologists - Office staff - Public affairs specialists - Cartographer Authorities <ul style="list-style-type: none"> - Plant Protection Act of 2000 	Destruction of host material Surveillance for pest in all ash trees within quarantine & surrounding area Outreach to public, stakeholders, and affected industries on the pest, how it spreads, and how to ensure the public doesn't spread it	Infected and exposed trees destroyed Pest is destroyed Severity and location of pest outbreak is determined Better informed public	EAB is eradicated Pest can't spread to surrounding host material Regionalization of quarantine EAB spread prevented Future outbreaks of EAB are prevented	Eradicate EAB U.S. ash trees protected

External Factors:

1. Market Price of Ashwood: If the price is low, there is no incentive for the lumber industry to voluntarily remove the trees for lumber
2. Insufficient technology/science to determine the complete scope of the EAB outbreak
3. Lack of trust among cooperators—information being withheld from one another
4. Lack of public awareness despite outreach efforts
5. Inexperience of field personnel in handling EAB activities

Case 2: An Emergency Response to an Animal Disease -- Exotic Newcastle Disease (END)

Problem Statement: Exotic Newcastle disease (END) is a contagious and fatal viral disease affecting all species of birds. END is probably one of the most infectious diseases of poultry in the world. END is also so virulent that many birds die without showing any clinical signs. A death rate of almost 100 percent can occur in unvaccinated poultry flocks. Exotic Newcastle can infect and cause death even in vaccinated poultry.

Program Goal: To protect American poultry resources by controlling and eradicating Exotic Newcastle Disease (END) from the Western United States, by using the best scientific practices and tools.

Inputs	Activities	Outputs	Intermediate Outcomes	Ultimate Outcomes
Personnel	Depopulation- - depopulate the index case clean and disinfect the infected premises	Infected birds are slaughtered	Disease eradicated from index premise	END is eradicated
Equipment	Surveillance - Conduct enhanced surveillance program for backyard flocks w/ in the neighborhood	Severity of actual outbreak determined	Disease can't spread to neighboring flocks from the index flock	International trade is reopened
Supplies	Indemnity Program - Offer indemnity payments to owners of infected flocks and other backyard flock owners who want to turn in sick birds	Owners of infected premises are reimbursed for the fair market value of their birds	Infected State becomes regionalized	
	Public Awareness Campaign - Educate public on disease, how it spreads, and good biosecurity habits	Better informed public	Bird owners of suspected sick birds have them tested due to potential indemnity payments Reduced risk of future outbreaks of END	

External Factors:

1. Identifying back yard flocks of birds (non-commercial) may be difficult.
2. Communicating with a diverse range of ethnic communities may make outreach and public awareness campaigns more complex.
3. Some communities in the midst of the END outbreak zones may be initially suspicious of government officials trying to encourage producers to implement biosecurity measures on their premises.

Case 3: A Program Logic Model for Wildlife Disease Monitoring & Surveillance – A New Line Item for FY 2005

Problem Statement: National biosecurity and bioterrorism concerns can not be adequately addressed unless a National Wildlife Disease Surveillance & Emergency Response system is established to supplement existing domestic animal health and wildlife health surveillance systems.

Program Goal: To develop and implement a National Wildlife Disease Surveillance & Emergency Response System to further safeguard American agriculture, human health and safety, and natural resources.

Inputs	Activities	Outputs	Intermediate Outcomes	Ultimate Outcomes
Dollars Equipment & Supplies - Field supplies for sample collections - Vehicles - Computers - GIS equipment Personnel - Wildlife Disease Biologists - GIS Specialists - Support Staff - IS disease surveillance liaison - Administrative Assistants - Laboratory technicians - Research Specialists - MIS Specialists - LPA Specialists Legal authority - The Animal Damage Control Act of 1931 - Homeland Security Presidential Directive 9	Emergency Response activities, including ICS/NIMS training Development of Emergency Response SOPs Disease surveillance training for wildlife disease biologists Disease surveillance training for foreign service officials Development of specific disease surveillance plans Active disease surveillance activities along the US. Mexico border Collection, preservation, and shipping of domestic wildlife samples	Adequate emergency mobilization Adequate emergency response (responders on site within 48 hours) Diagnostic test result information Geographic information on disease distribution in wildlife populations and domestic herds	Strengthened emergency response capabilities (better able to evaluate disease threats) Greater understanding of infectious diseases and zoonotic infections Reduced risk of bioterrorist threats	Safe agricultural trade Reduced losses to agricultural and natural resources Improved biosecurity for livestock, wildlife, and human health and safety

External Factors:

1. Significant changes in wildlife populations (i.e., increases or decreases in population size, movement of wildlife populations, etc.)
2. Significant changes in state wildlife management policies
3. Accelerated rates of human encroachment on wildlife habitat

Basics of Strategic Planning

General Principles

- Strategic Planning is a process that a program's top management uses to determine its future direction over the next several (usually 5) years (i.e., its long-range goals).
 - It is not a process that should be entered into with the expectation that it can be done quickly or in isolation.
 - External stakeholders or customers are an integral piece of the planning process, as they help identify or clarify the Organizational Mission.
 - Once the Mission is decided upon, top management needs to examine the external forces that could impact the success of accomplishing the mission. They need to develop high level strategies to address these external forces.
 - As part of developing these strategies, leadership **MUST** examine its Strengths, Weaknesses, Opportunities, and Threats (SWOT). These four categories allow top management to balance their views of the internal organization (Strengths and Weaknesses) with their views of the external world (Opportunities and Threats).
 - High quality data, collected through reliable information systems, is crucial to helping top leadership conduct this SWOT analysis.
 - While Strategic Planning is done by top leadership, Strategic Thinking should be done at all layers of the organization. In fact, experts studying the **BEST PRACTICES** of Strategic Planning show that when management has its workforce deliberately and carefully document its strategic thinking and communicate it up the line, strategic planning is much enhanced.
- The Strategic Planning process will not be successful if it is not integrated into the "business" or operational side of the organization. Program managers need to take the long-range goals and "translate" them into quantifiable or concrete results. Performance needs to be monitored, things need to be adjusted along the way, and successes need to be rewarded and celebrated.

Ten Tests of a Good Strategic Plan

1. The Plan is consistent with statutory authority
2. The Mission statement is made meaningful by a Vision
3. The Goals and Objectives are definitive and results-oriented
4. The strategies reflect the most efficient and effective road to achieving the goals
5. The Agency uses clear performance measures to track and report progress
6. The Agency's data collection systems are reliable
7. The Agency has coordinated its activities with other Agencies
8. Individual program managers are held accountable
9. External factors that could affect performance have been identified
10. A wide range of stakeholders have given input into the Plan

I. If you are asked to **UPDATE** an existing Strategic Plan:

1. Check-in with stakeholders or customers to validate the existing Organizational Mission and Vision. The check-in process doesn't have to be exhaustive, but it should be representative of stakeholders or customers.
2. Make sure there are no new external factors or variables that impact the ability to accomplish the mission. If there are, top leadership will need to develop new strategies for handling them.
3. If changes are made to the existing Strategic Plan, explain the reasons for such changes to program managers as they will need to "translate" them to the Operational Plans.

II. If you are asked to **CREATE** a new Strategic Plan:

John Bryson, author of *Strategic Planning for Public and Nonprofit Organizations*, breaks the strategic planning process into 8 Basic Steps.

Step 1: Initial Agreement: Plan for planning

Step 2: Identify Organizational Mandates

Step 3: Identify Mission/Values (by the stakeholders)

Step 4: Assess the External Environment (Opportunities and Threats)

Step 5: Assess the Internal Environment (Strengths and Weaknesses)

Step 6: Identify the Strategic Issues Facing the Organization

Step 7: Develop Strategies to Manage these Issues

Step 8: Establish an Effective Organizational Vision for the Future

III. What Do All the Terms Mean?

Understanding the strategic planning nomenclature can be confusing to managers. Some explanations are provided below.

Mission: The "MainThing" or primary business of the program. It should be concise, clear, and describe the organization's core competencies.

Vision: A statement clarifying what the organization should look like and how it should fulfill its mission. It describes how the organization will look when it's working well. It may be a very specific quantitative pronouncement of a measurable goal.

Example: (Taken from *The Business of Government* by Kessler and Kelley)

Mission: To provide a quality liberal arts education to all students who wish to attend State University and to prepare students to function as outstanding employees when they enter the workplace.

Vision: To emerge from a recent period of declining enrollment as the most attractive school to attend in our region for a quality education. We expect, within three years, to have a waiting list of students and to achieve this vision by MM/YY.

Example: From the Oregon Department of Fish and Wildlife

Mission: To protect and enhance Oregon's fish and wildlife and their habitats for use and enjoyment by present and future generations.

Vision: Oregon's fish and wildlife are thriving in healthy habitats due to cooperative efforts and support by all Oregonians.

Goals: The ultimate outcome of all the activities being performed (i.e. the reason you're doing all the work in the first place!).

Refer to your Program Logic Model. If you've done a good job with the Basic Program Rationale, the Goal statement(s) can be pulled directly from this tool.

- Example Case 1: EAB: Eradicate Emerald Ash Bohrer and protect U.S. ash trees
- Example Case 2: END: Protect poultry by eradicating END from the western U.S.
- Example Case 3: Wildlife Disease: Safe Agricultural trade, reduced losses to agricultural and natural resources, and improved biosecurity for livestock, wildlife, and human health and safety.

Strategies: Broad descriptions of the various activities being performed to achieve the goal(s).

In APHIS, examples may include: Pre-clearance Inspections in foreign countries, Surveillance techniques, Voluntary Compliance Programs, Eradication efforts (trapping, sterile fly release), Outreach and Education.

IV. If the Mission is Difficult to Express

The Executive's Guide to Strategic Planning lists 12 questions that can help:

1. What business should we be in?
2. Why do we exist (what is our basic purpose)?
3. What is unique or distinctive about our organization?
4. Who are our principal customers, clients, or users?
5. What are our principal products/services, present and future?
6. What are our principal market segments, present and future?
7. What are our principal outlets/distribution channels, present and future?
8. What is different about our business from what it was 3 to 5 years ago?
9. What is likely to be different from our business in 3 to 5 years?
10. What are our principal economic concerns, and how are they measured?
11. What philosophical issues are important to our organization's future?
12. What special considerations do we have in regard to the following stakeholders?

Operational (Action) Planning

The action planning steps presented here will help guide APHIS managers in planning strategically for emergency response programs and other APHIS initiatives requiring precise, comprehensive planning documents that effectively communicate critical information to administrators at the Department level and above. The action plan for an emergency or new program must convincingly convey the need and rationale for the desired course of action, a clear objective and clear milestones toward anticipated outcomes. These action planning steps can be used as a checklist to help ensure a unified commitment and course of action for emergency response and new program initiatives.

In an emergency situation, action planning using short time frames is often the most productive approach. Targets and milestones may need to be established on a weekly, daily or even hourly basis depending on the nature of the emergency. Greater urgency also makes straightforward and more immediate targets desirable. Because of the fluid nature and uncertainties characteristic of most emergencies, contingency or scenario variant planning is often more important than in other types of planning.

Once an action plan is completed and the results are evaluated, adjustments made through efficiency or refinement planning can alter program logic and functional processes to enhance efficiency and, if necessary, establish new targets and/or milestones.

Operational Planning in an Emergency

When an emergency occurs, there is little time for formal strategic planning. For the most part, activity needs to begin right away and people and equipment must be coordinated immediately. Operational planning should flow directly from the planning already completed by the Agency's leadership. That is, the activities and functions to be carried out to manage the emergency, should clearly fall within the purview of the organization's long-term goals and strategies. If, however, actions appear to be incongruent with these goals and strategies, the Agency leadership needs to agree to move forward and make

adjustments at a later time to their strategic documents or pass the emergency to another federal agency with clearer legislative authority to manage it.

The onset of an emergency is the signal for the action planning process to begin. A written action plan will set the needed course of action and serve as a "roadmap" for how the program will accomplish its long-term strategic goal. Action plans should be brief and concise but complete, and in terms easily understood by non-technical officials. Mid-level and field-level managers must be involved in the action planning process to ensure that these plans are technically feasible, effective and minimize negative impacts on the affected or regulated entities and cooperators.

Components of an Emergency Action Plan

A good action or emergency action plan will include sufficient information to answer anticipated questions from budget and policy makers who must approve the expenditure of resources identified by the plan. Empirical data are a necessary requisite of all action plans submitted for Departmental approval. Action plans must cite the most recent and best knowledge available as the basis for the action proposed by the plan. The components of a good emergency action plan should answer the following questions:

1. What is the status of the current emergency situation?
 - Describe the underlying need for action
 - Scope of the threat
2. What action should be taken? By who? By when?
 - May need to develop an administrative action plan and a technical action plan
 - What methods will be used and what is the plan objective? What alternative actions were considered and what is the rationale for selecting or rejecting an approach?

- What legislative authorities exist that authorize the organization's involvement?
- What will be the different roles of all the involved players—industry, federal agencies, state agencies & researchers? Identify roles and responsibilities.
- How will these different entities coordinate with one another?

3. What are the consequences if we take no action?

- Clearly identify the resources at risk (agricultural, human health, etc.)
- Use empirical data to develop best and worst case scenarios about disease or pest spread and potential economic impact
- How dynamic is the situation?

4. What special considerations exist?

- What are the political circumstances that influence this situation?
- Are there public health considerations or biosecurity concerns, and if so, how will they be addressed? What about employee health and safety issues?
- Are there anticipated adverse environmental effects resulting from some of the treatment actions being taken?
- Do local laws, regulations or policies impact the way work will get accomplished?

5. How do I know if the actions being taken are accomplishing our objectives?

- What performance indicators will I use to determine progress?
- What milestones (targets) need to be set? (This may include a projected timetable for the planned progression of events.)

6. What resources will I need to accomplish the objective?

- What equipment and supplies will I need?
- What are the projected long-term personnel needs? (Including technical expertise currently not available)

- What other workforce requirements need to be met? (space, travel, other administrative issues)
- How will I fund these activities?

7. What communication strategies/protocols/policies need to be followed to effectively communicate with different audiences?

Operational Planning (For a New Program or in a Non-Emergency situation)

The basics of operational planning in a non-emergency situation are the same as in an emergency. However, since there is more time, the operational plan can go into greater detail about program activity specifics. Things to be mindful of include:

- The intermediate program goals (as identified in the program logic model) should clearly link back to the Strategic program goal. It may be necessary to provide more detail about the links between the two levels.
- The operational plan must identify what should be done, by when, and by whom. Roles may need to be clearly explained, particularly if some program activities are to be carried out by outsiders (stakeholders or partners that are not part of the federal program).
- Performance metrics should be described, along with an explanation of how they reflect or support the intermediate goals. Details about the tracking system may need to be identified, as well as any concerns about the reliability or validity of the performance information or the process used to collect it.

- The resources needed to get the job done (budget, people, equipment, etc.) should be explained.
- If there are things the program can do to positively influence any external forces that may impact the program's success, the operational plan should outline these actions.

Note: Operational Planning in an Emergency Situation tends to be highly dynamic.

These plans will need to be revisited regularly (weekly, or maybe even daily) and changed accordingly.

Expect to develop a series of operational plans, particularly during the 3 stages of an Emergency:

Mobilization

Operations

Demobilization

Operational Plan Template

I. Overview of Emergency Situation

- A. Describe general problem:
- B. Status of current situation:
 - Resources already damaged
 - Additional resources potentially at risk (give empirical data, including economic data)
- C. Consequences of Taking No Action
 1. Best-Case Scenarios
 2. Worst Case Scenarios
- D. Describe Special Considerations like:
 - Volatility of situation (how dynamic is the situation?)
 - Political Issues that are significantly impacting the emergency
 - Biohazards or biosecurity threats
 - Environmental concerns
- E. Why were some options for addressing the emergency not considered feasible?
(These may link directly back up to the Special Considerations section)

- List Immediate Resources Needed: (personnel, equipment, supplies—medical and others)
- What performance indicators will you use to know if your actions are having the desired effect?
- What Immediate Communication Protocols/ Strategies need to be implemented and followed?

B. Intermediate Actions: (1 week -6 weeks):

1. List of Activities:
2. Conducted by Who:
3. Conducted by When:
4. Using what additional Resources:
5. Performance Targets (milestones) set and progress monitored

C. Long-Run Actions: (6+ weeks)

Same categories apply as above, however, it will not be possible to determine activities, etc. until the emergency evolves. Activities may change as new science or technology becomes available, or as some of the variables described under the “Special Considerations” section of the Overview get resolved.

II. Action Steps:

The Immediate and Intermediate Action Plans need to be sketched out rapidly.

- A. Immediate Actions (24 hours to 1 week)
 - What Activities Need to be Undertaken?
 - Who Needs to be Involved? (APHIS personnel, state agencies, industry, other cooperators?)
 - When Do Things Need to begin?

Activities or strategies for managing the emergency could change significantly from the Immediate and Intermediate Action Plans if the performance monitoring system indicates that progress is not being made at a pace deemed acceptable by emergency managers. This is why it is important to have an accurate, rigorous, and reliable performance monitoring system in place.

Note that over time, additional types of analytical expertise (economic, statistical, environmental, etc.) may be needed to improve the performance monitoring system being used.

Legal and Administrative Aspects

When faced with planning for either an emergency or a new program initiative, often the programmatic issues or obstacles that need to be addressed take precedence over the related legal and administrative issues. However, as most federal program managers are acutely aware, these legal administrative issues can often prove to be as important as some of the biological/technical issues. For example, will the new program or emergency require the Agency to amend its regulations or issue new regulations? Does the Agency have adequate authority to initiate actions to address the issue? Do the federal rules allow program managers to hire temporary or contract employees?

Many of these issues are addressed in the following section. The first portion will provide a listing of legal authorities under which APHIS carries out its programs. It also includes a list of laws and executive orders that govern Federal rulemaking. This legal section is intended to be only an inventory of regulations, rules, and executive orders that have an impact on APHIS' mission. It is not exhaustive. It is intended to serve only as a reference sheet to program managers. It should also be noted that the legal authorities for conducting APHIS business are complex and multi-faceted, so as new APHIS programs are developed or existing programs are expanded, sometimes legal authorities must be interpreted by legal experts to determine what the Agency's appropriate role is. In these cases, program managers should consult with the Office of the General Counsel (OGC). Each Agency Program Unit should have an appointed contact that can make inquiries with OGC on specific legal questions. Please check with your program's Deputy Administrator's Office for the appropriate contact.

The second portion will provide a brief description of the administrative issues that need to be addressed in the planning process. MRPBS is responsible for providing administrative support to the APHIS Programs in the areas of finance, procurement, personnel, information technology, investigative and enforcement services, property, safety, and security. This Planning Guide provides only a brief outline of the services provided by MRPBS and is in no way all inclusive. For more information, please see the [MRPBS Emergency Response Manual] located at <http://inside.aphis.usda.gov>. The Manual is updated regularly and should be used as a resource when more detailed information is needed.

Overview: Primary Authorities for APHIS Program Work

Animal Care Authorities

- 7 U.S.C. 2131-2159 – Animal Welfare Act. The AWA provides for the humane care and treatment of most warmblooded animals intended for use in research facilities or for exhibition purposes (including at zoos, circuses, and marine mammal facilities) or for use as pets; assures the humane treatment of animals during transportation in commerce; and protects against pet theft by prohibiting the sale or use of animals which have been stolen. The AWA also prohibits staged dogfights, cockfights, bear and raccoon baiting, and similar animal fighting ventures.
- 15 U.S.C. 1821-1831 — Horse Protection Act. The HPA prohibits horses subjected to a process called soring from participating in exhibitions, sales, shows, or auctions. In addition, the Act prohibits drivers from hauling sored horses across State lines to compete in shows.

Wildlife Services Authorities

- 7 U.S.C. 426-426b-426c — The Act of March 2, 1931, and Rural Development, Agriculture, and Related Agencies Appropriations Act of 1988. Wildlife Services is directed by Congress to manage damage and conflicts caused by wildlife and to take any action the Secretary of Agriculture deems necessary in conducting this program.

Plant Protection and Quarantine Authorities

- 7 U.S.C. 7701 et seq. – Plant Protection Act. The Plant Protection Act of 2000 gives APHIS the ability to prohibit or restrict the importation, entry, exportation, and interstate movement of plants, plant products, biological control organisms, noxious weeds, plant pests, or other articles if the prohibition or restriction is necessary to prevent a plant pest or noxious weed from being introduced into or disseminated within the United States. Under the PPA, violators face harsher civil penalties than ever before for smuggling illegal plants or produce that could harbor plant pests or diseases. The PPA gives the Secretary of Agriculture the authority to subpoena documentary evidence and witnesses to prosecute violators. The Act also provides APHIS with a cost recovery mechanism for expenses related to the disposal of abandoned shipments at U.S. ports of entry.
- The Public Health Security and Bioterrorism Response Act of 2002 (P.L. 107-188) — Title II, Sections 211-231, provides for the regulation of certain biological agents and toxins by the Department of Health and Human Services and the Department of Agriculture. The Act requires that entities, such as private, State, and Federal research laboratories, universities, and vaccine companies, that possess, use, or transfer biological agents or toxins deemed a threat to public health and safety or to animal or plant health or products register these agents with the appropriate Federal Department. The Act requires interagency coordination regarding biological agents and toxins that present a threat to both public health and safety and animal health.

Veterinary Services Authorities

- 7 U.S.C. 8301 et seq. – Animal Health Protection Act
The AHPA authorizes APHIS to prohibit or restrict the importation, entry, exportation, and interstate movement of any animal, means of conveyance, or other article if the prohibition or restriction is necessary to prevent a disease or pest of livestock from being introduced into, or disseminated within or from, the United States. The AHPA authorizes additional actions in extraordinary emergencies. It also provides for inspections, seizures, quarantines, and disposal, as well as measures to detect, control, and eradicate diseases and pests of livestock, and for a veterinary accreditation program.
- The AHPA also contains provisions for compensation, civil penalties, and subpoenas.
- The Public Health Security and Bioterrorism Response Act of 2002 (P.L. 107-188) (See previous citation under PPQ authorities).

Other Laws and Executive Orders that Regularly Impact APHIS

Some of the following laws and executive orders apply to rulemaking specifically. Others apply to agency actions generally, whether or not rulemaking is involved. Where possible, this appendix provides guidance concerning applicability.

Federal Register Act (44 U.S.C. 1502 et seq.)

- Requires certain documents, including documents having general applicability and legal effect (e.g., regulations) to be published in the Federal Register.

National Environmental Policy Act (NEPA) (42 U.S.C. 4321 et seq.)

- Requires agencies to evaluate the potential environmental consequences of proposed actions, including, but not limited to, proposed rule, in a forum open to the public. The evaluation may be in the form of either an environmental assessment and finding of no significant impact or, if such a finding cannot be made, an environmental impact statement.

Section 7 of the Endangered Species Act (16 U.S.C. 1536)

- Requires agencies to consult with the Fish and Wildlife Service of the Department of Interior before taking any action, including, but not limited to, rulemaking actions, which could threaten any endangered species of animal or plant.

Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) (7 U.S.C. 136 et seq.)

- Requires the registration and reregistration of all chemicals intended as pesticides. APHIS must meet FIFRA requirements or EPA can bring an enforcement action against the Agency.

Executive Order 12898: Federal Actions to Address Environmental Justice in Minority Populations & Low Income Populations

Executive Order 13045: Protection of Children from Environmental Health Risks and Safety Risks

Executive Order 13112: Invasive Species

Executive Order 13186: Responsibilities of Federal Agencies to Protect Migratory Birds

Executive Order 13141: Environmental Review of Trade Agreements

Executive Order 13101: Greening the Government through Waste Prevention, Recycling, and Federal Acquisition

Executive Order 12843: Procurement Requirements and Policies for Federal Agencies for Ozone-Depleting Substances

Executive Order 12114: Environmental Effects Abroad of Major Federal Actions

Executive Order 12088: Federal Compliance with Pollution Control Standards

Executive Order 11990: Protection of Wetlands

Contact: PPD's Environmental Services (ES) Staff

Executive Order 13175: Consultation & Coordination with Indian Tribal Governments

- Requires agencies to consult with Indian tribal governments about any new regulations that may have substantial direct effects on them and their members.

Contact: APHIS' Native American Working Group

Administrative Procedure Act: (5 U.S.C. 551 et seq.)

- Sets the basic requirements for rulemaking including publishing either the terms or substance of a proposed rule in the Federal Register; the opportunity for public participation through submission of written comments; publishing a final rule in the Federal Register; and providing an effective date for the final rule that is at least 30 days after publication in the Federal Register (unless the rule relieves restrictions, grants an exemption, or there is other good cause for making an exception).
- Any requirement that APHIS wishes to impose on the public on a recurring basis must be imposed through rulemaking in order to be enforceable.

Federal Advisory Committee Act (5 U.S.C App.1)

- Prohibits Federal officials from seeking advice or recommendations from a group that includes anyone other than State, Federal, local and/or tribal government officials, unless the group has been chartered as an advisory committee under this Act. NOTE: Agencies may seek advice and recommendations from the public at large, including industry groups, through an advance notice of proposed rulemaking or other request for information published in the Federal Register.

Congressional Review Act of 1996 (5 U.S.C. 801 et seq.)

- Requires agencies to submit all interim and final rules to Congress before the scheduled effective dates of the rules.
- Requires a waiting period of 60 days after publication before a “major” (“economically significant”) rule may take effect, except in an emergency situation.

Negotiated Rulemaking Act (5 U.S.C. 561 et seq.)

- Sets out procedures for conducting negotiated rulemaking, consistent with the Administrative Procedures Act. Among other things, requires any group convened for negotiated rulemaking to be established in accordance with the Federal Advisory Committee Act.

The Unfunded Mandates Reform Act of 1995 (2 U.S.C. 1501 et seq.)

- Requires Federal Agencies to prepare a written statement, including a cost-benefit analysis, for any proposed or final rule likely to result in State, local, or tribal government or private sector expenditures of \$100 million or more in any one year.

Executive Order 12372: Intergovernmental Review of Federal Programs - Concerns with State and local governments who would be directly affected by proposed Federal financial assistance or direct Federal development.

Executive Order 12612: Federalism – Requires agencies to examine the need and authority for any Federal action that would limit the policy making discretion of the States.

Executive Order 12630: Government Actions and Interference with Constitutionally Protected Property – Requires agencies to evaluate regulations that having takings implications on private property. A “Takings Impact

Assessment” may be required.

Executive Order 12988: Civil Justice Reform – Requires agencies to draft regulations clearly and in ways that minimize litigation; requires agencies to specify any preemptive or retroactive effect of regulations, and to specify in the regulations whether any administrative proceedings are required before parties may file suit in court challenging the regulations.

Executive Order 12606: The Family – Requires agencies to consider the potential negative effects of proposed rules on the formation, maintenance, and well-being of the family.

Contact: PPD’s RAD Staff

The Federal Crop Insurance Reform and Department of Agriculture Reorganization Act of 1994 (7 U.S.C. 2204e)

- Requires that USDA prepare risk and cost-benefit analyses for any major rule (those designated “economically significant” by OMB). The analyses must describe the nature of the risk, the need for reducing it, alternatives for reducing it, and the costs and benefits of the alternatives.

Contact: PPD’s RAD, Policy Analysis & Development (PAD), or Risk Analysis Systems (RAS) Staff

Executive Order 12866: Regulatory Planning & Review—
September 1993

Executive Order 12866: Regulatory Planning & Review—
September 1993

- Requires agencies to notify OMB of ALL intended regulatory actions.
- Provides for OMB review of actions deemed “significant” or “economically significant.”
- Requires agencies to assess costs and benefits of rules designated “significant” or “economically significant” and to issue rules only when

benefits exceed costs.

Contact: PPD’s RAD or PAD Staff

Regulatory Flexibility Act (5 U.S.C. 601 et seq.)

- Requires agencies to examine the potential economic effects of rules on small U.S. businesses, non-profit organizations, and small governmental jurisdictions. This analysis is required for almost all regulations.

Contact: PPD’s PAD Staff

Small Business Regulatory Enforcement Fairness Act of 1996 (5 U.S.C. 801 et seq.)

- Provides new avenues for small businesses to participate in and have access to the federal regulatory arena. For example, it permits judicial review of agencies’ compliance with the Regulatory Flexibility Act. It also requires agencies to publish compliance guides in plain language explaining how small firms can comply with regulations that have a significant small business impact; establish a system for addressing compliance inquiries from small business; and establish a policy to provide for the reduction, and under appropriate circumstances, for the waiver of civil penalties for violations of statutory or regulatory requirements by a small business.

Contact: PPD’s PAD Staff or MRPBS’ Investigative and Enforcement Staff

Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq)

- Requires agencies to obtain approval from OMB before collecting information from the public or requiring them to keep records.
- Prohibits the collection of information, even on a voluntary basis, from 10 or more persons, unless the information collection has been approved by OMB.

- The Act applies not only to information collections and recordkeeping required by regulations, but also to nonrulemaking activities, such as surveys.

Contact: MRPBS/Information Technology AIM Branch

Government Paperwork Elimination Act (Pub. L. 107-277, Title XVII)

- Specifies that electronic records and related electronic signatures can not be denied legal effect, validity, or enforceability; and requires agencies provide for their use and acceptance when practicable.
- Requires agencies to provide the option of electronic maintenance, submission, or disclosure of information, when practicable, as a substitute for paper.

Contact: MRPBS/Information Technology AIM Branch

Rehabilitation Act (Section 508)

- Requires electronic and information technology developed, procured, maintained or used by the Federal government be accessible to people with disabilities.
- Requires that all Federal employees and members of the public who have disabilities have access to and use of information and services that is comparable to the access and use available to non-disabled individuals.

Contact: MRPBS/Information Technology /FPS Branch

Public Law 107-347 (Title III)

- Requires agency-wide information security program to protect all information systems that support the operations and assets of the agency including those provided or managed by another agency, contractor, or other source.

Clinger-Cohen Act of 1996 (40 U.S.C. 1401 (3))

- Requires the management of all information technology systems using performance and or results – based management practices.

Contact: MRPBS/Information Technology /AIM Branch

The Privacy Act (5 U.S.C. 552 a)

- Establishes certain controls over what personal information is collected by the Federal Government and how it is used. It applies only to records about individuals maintained in a “system of records” and permits an individual to gain access to most personal information and to request amendments to those records.

Contact: Legislative & Public Affairs –Freedom of Information (FOIA) Staff

The Freedom of Information Act (5 U.S.C. 552)

- Tells how the public may request Agency records and requires Federal agencies to make their records promptly available to any person who makes a proper request.

Contact: Legislative & Public Affairs –Freedom of Information (FOIA) Staff

Title VI Civil Rights Act of 1964 (42 USC 2000d et.seq.)

Title IX Education Amendments of 1972 (20 USC 1681)

Section 504 Rehabilitation Act 1973 (29 USC 794)

Age Discrimination Act 1975 (42 USC 6101)

- Prohibits discrimination in programs and activities receiving Federal financial assistance from APHIS. Prohibited bases of discrimination are race, color, national origin, disability, sex (educational programs and activities only), and age.

Title 7, Code of Federal Regulations, Part 15d

- Prohibits discrimination in programs and activities conducted by APHIS. Prohibited bases of discrimination are race, color, religion, sex, age, national origin, marital status, familial status, sexual orientation, or disability, or because all or part of an individual's income is derived from any public assistance program.

Title VII Civil Rights Act of 1964(42 USC 2000e, et. seq.)

Rehabilitation Act of 1973 (29 USC 791)

Age Discrimination in Employment Act (29 USC 621)

Title 29, Code of Federal Regulations, Part 1614, Federal Sector EEO

- Prohibits discrimination in employment and application for employment. Prohibited bases of discrimination are race, color, religion, sex, national origin, disability, and age. Title 29 CFR Part 1614 details federal sector processing of complaints.

Contact: APHIS Civil Rights Enforcement and Compliance:
202-720-6312

Regulatory Work Plan Checklist

Before submitting a regulatory work plan, consider the following questions. If you cannot answer “yes” to any of them, you may not be ready to submit the work plan.

- | | |
|---|---|
| <p>_____ Does APHIS have the statutory authority to take this action?</p> <p>_____ Do you know what is allowed or required under the current Code of Federal Regulations (CFR)?</p> <p>_____ Are you sure that the current regulations must be changed in order for this action to be taken? Have you identified the exact regulations that must be changed?</p> <p>_____ If the action affects trade, do you know if there is an international standard accepted by OIE, IPPC, or NAPPO related to this action? If you do not choose to use an internationally accepted standard, are you prepared to explain why? You may wish to consult with your program’s trade policy advisor or the Trade Support Team, International Services.</p> <p>_____ Is there a sound scientific basis for the action you wish to take? If a risk assessment is necessary, has one been completed? You may wish to consult with PPD-RAS.</p> <p>_____ If this action is based on any research, survey, or study, has the research, survey, or study been completed, and do you possess documentation of the results? If this action is based on any other documentation, do you have the documentation?</p> | <p>_____ Do you really want to take this action? Have you thoughtfully considered the consequences, including any potential environmental effects, burdens on regulated parties (particularly small businesses), opposition by special interest groups, or implications for international trade?</p> <p>_____ If this action imposes any restriction or other requirement, is the action enforceable? Is APHIS prepared to enforce it? You may want to consult with Investigative and Enforcement Services.</p> <p>_____ Have you considered whether this action will require an environmental assessment under NEPA? You may want to contact PPD-ES.</p> <p>_____ Have you consulted with other offices in APHIS which may have an interest in this action, or be affected by this action? (Consider field offices as well as headquarters staff.)</p> <p>_____ Have you considered whether and how the action could affect inspectors and/or the inspection procedures at Customs and Border Protection, DHS?</p> <p>_____ Have you considered whether other agencies within or outside the Department of Agriculture should be consulted or involved in developing this regulation?</p> <p>_____ If you are considering making any related changes to the regulations now or in the near future, have you thought about requesting these in the same work plan? (This may or may not be appropriate. Contact RAD to discuss specific actions.)</p> |
|---|---|

- _____ Have any issues that might impede progress in drafting the regulation been resolved? Is a program contact ready to work with RAD to develop the regulation?

- _____ Have you considered alternatives? A description of alternatives considered, as well as an analysis of their costs and benefits, may be required for the rulemaking. You may wish to consult with PPD-PAD.

APHIS Regulatory Workplan

(Revised April 2004)

Short title for this action:

Please sign and date. Then send to the next office.

1. Originating Office: _____

2. Regulatory Liaison for Program: _____

Is this action related to the functions transferred
from APHIS to the DHS? ____ yes ____ no

3. Deputy Administrator: _____

Deputy Administrator's Recommended Designation
of Significance:

____ NOT SIGNIFICANT

____ SIGNIFICANT

____ ECONOMICALLY SIGNIFICANT

4. Regulatory Analysis and Development
APHIS Docket Number:

5. Assistant Commissioner, Office of Field Operations,
Bureau of Customs and Border Protection, DHS:

Does the Assistant Commissioner wish to review a
copy of the draft regulation? ____ yes ____ no

6. Administrator: _____

(Please hold for Judy Lee, Regulatory Analysis and
Development Staff)

7. OBPA: _____

OBPA's Recommended Designation of Significance:

____ NOT SIGNIFICANT

____ SIGNIFICANT

____ ECONOMICALLY SIGNIFICANT

8. Under Secretary (signs inside)

9. Julie Hetrick, OBPA
Room 118-E, Whitten Building
Call 720-1272 for pickup

10. Susan Gallagher, PPD-RAD
4700 River Road Unit 118
Riverdale, MD 20737
734-7187

U.S. Department of Agriculture

Animal and Plant Health

Inspection Service

Regulatory Workplan

APHIS Docket No. _____

1. Under Secretary's Recommended Designation of Significance:

_____ NOT SIGNIFICANT

_____ SIGNIFICANT

_____ ECONOMICALLY SIGNIFICANT

Signature: (Under Secy.) _____ Date: _____

_____ Major under Public Law 103-354
(ORACBA)

Workplan requires OMB review: _____

Additional Instructions from Under Secretary (optional): _____

OBPA WORKPLAN # - _____

Date: _____

OMB's Designation: _____

Date: _____

RIN: _____

2. Descriptive Title: (include CFR citation, e.g., 9 CFR part 93, 7 CFR 319.56, etc.) _____

Note: For help in completing this workplan, contact the Regulatory Analysis and Development (RAD) Staff, PPD, at (301) 734-8682. Also, see contacts for assistance listed in specific sections.

3. Type of Action: _____

Notice: _____

Proposal: _____

Advance Notice of Proposed Rulemaking: _____

Interim: _____

Final: _____

Direct Final: _____

Other: _____

4. Description of Action and Agency Contact: _____

a. Briefly describe what the current regulations require or allow, how you wish to change them, what triggered the need for this change, and the expected results of this change.

b. Briefly discuss other issues associated with this rulemaking, including any significant changes in program operations; effects on other Federal agencies and State and local governments and the extent of any related consultations; alternatives considered; time pressures (state here if docket needs to be published by a specific date and why); and why the regulatory action is important, sensitive, controversial, or precedent setting.

c. Name, title, telephone number and e-mail address of agency contact: _____

5. Briefly discuss the potential economic effects of this action, including benefits and costs, economic effects on small entities, and budgetary effects. For information or assistance, contact Policy Analysis and Development, PPD: (301) 734-8667.

6. If this action is based on a consideration of plant or animal pest or disease risk, it may need to be supported by risk documentation (e.g., a risk assessment, risk analysis, and/or risk management document). Please indicate whether such documentation has been prepared, identify it, and state where a copy may be obtained. For information or assistance, contact Risk Analysis Systems, PPD, (301) 734-8017.
-

7. Agencies must consider the potential environmental effects of a regulatory action, including effects on human health.

a. Is this action based on a consideration of plant or animal pest or disease risk, including means of avoiding or mitigating risk? ☐ yes ☐ no

If yes, APHIS procedures in 7 CFR part 372 for implementing the National Environmental Policy Act (NEPA) generally require that an environmental assessment (EA) be prepared, although there are exceptions (e.g., pest or disease risks are de minimis).

Please contact Environmental Services, PPD, at (301) 734-8565, for advice on whether an EA should be prepared and assistance with preparation or, alternatively, assistance in documenting why an EA is not necessary.

Please check one of the following:

☐ An EA is being or has been prepared by (name).

☐ A document has been prepared explaining why an EA is not needed. (Please attach document signed by preparer.)

- b. Other environmental requirements, including Executive Order 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations," and Executive Order 13045, "Protection of Children from Environmental Health Risks and Safety Risks," may also apply. For information and assistance, contact Environmental Services, PPD, (301) 734-8565.

Please check one of the following:

☐ I have consulted PPD-ES or other environmental specialist (name) and no other environmental documentation is required.

☐ I have consulted PPD-ES or other environmental specialist (name), and (name) is preparing documentation to address (executive order or other requirement).

8. Will this action affect the importation of articles into the United States or the interstate movement of articles that are also traded internationally?

___ yes ___ no

If yes, please answer the following questions. For advice or assistance, contact the Trade Support Team, (202) 720-7677.

- a. Is this action consistent with U.S. obligations under the World Trade Organization Agreement on Sanitary and Phytosanitary Measures, including the principles of transparency, equivalency, and regionalization?
- b. Is there an international standard relevant to this action? If so, please cite [OIE, IPPC, NAPPQ] [article/provision/ chapter].
- c. Is this action consistent with any international standard cited above? (Leave blank or type N/A if there is no relevant international standard.)
- d. If the answer to question (a) or (c) is no, please explain.

-
9. Executive Order 13175, Consultation and Coordination with Indian and Tribal Governments, states that agencies must consult with Indian tribal governments about any new regulations that may have substantial direct effects on them and their members. Will this rule regulate an area that may include tribal lands or regulate articles used by tribes on their lands? For more information, contact Rick Wadleigh, APHIS Native American Program Coordinator, at (202) 720-8127 or (303) 324-9519, or a headquarters representative of the APHIS Native American Working Group (directory at <http://www.aphis.usda.gov/anawg/staterep.html>).

-
10. The Paperwork Reduction Act of 1995 requires agencies to obtain approval from the Office of Management and Budget before implementing any new information collection requirements. Will this rule require the submission of information or recordkeeping? If so, please contact Forms, Issuances, and Records Management (FIRM), MRPBS, at (301) 734-7477. FIRM can advise you of whether OMB approval will be required and explain the process for obtaining it.

-
11. State briefly what sections of the CFR will need to be changed as a result of this action: (It is not necessary to show how the sections will be amended.)

-
12. If this action is related to functions transferred from APHIS to the Department of Homeland Security, describe any new activities DHS will need to undertake to carry out or enforce this change, describe the types of locations where the new activities will occur, and estimate whether the new activities are likely to require significant increases in personnel, equipment, or other expenses. For information or assistance, contact:
- For plants or plant products: Assistant Director for Regulatory Coordination, PPQ, at (301) 734-8790.
 - For live animals, embryos, or semen: Director, Select Agent, Organisms and Vectors, and Animals at (301) 734-3277.
 - For animal products or byproducts: Assistant Director, Veterinary Regulatory Support, PPQ, at (301) 734-7633; or Director, Technical Trade Services Team--Byproducts, VS, at (301) 734-3277.

13. What other APHIS staffs (or units outside APHIS) should be made aware of or involved in this regulatory change? Please list those to which RAD should send a copy of the workplan. Be as specific as possible (e.g., list a specific name/staff rather than PPQ or VS).

Please route a paper copy of this workplan in accordance with the cover sheet. Please send an electronic copy of this workplan to RAD c/o Wanda L Moore/MD/APHIS/USDA.

Administrative Management

Administrative management involves identifying, acquiring, allocating, and tracking all of the resources including human resources, equipment, services, and facilities – needed to carry out a program or an incident requiring emergency response.

The following pages provide basic information about the services that Marketing and Regulatory Programs Business Services (MRPBS) have available to support programs. The administrative management information is in six main sections, which follows the organization of MRPBS. Listed are below are these sections, with subcategories of information contained in this appendix.

- **Human Resources (sub tab 5B-1)**
 - o New organizations or organization components
 - o Position descriptions
 - o Employee performance and conduct
 - o Tours of duty, official time, leave
 - o Bargaining Unit employees
 - o Pay issues
 - o Employee records
 - o Processing personnel actions
 - o Employment status changes
- **Employee Services (sub tab 5B-2)**
 - o Personal Protection equipment
 - o Employee health and well-being
 - o Workers Compensation
 - o Facilities and space
 - o Training, non-technical
 - o Conflict prevention and resolution
 - o Hazardous materials
 - o Environmental permits
- **Administrative Services (sub tab 5B-3)**
 - o Fleet card policies and acquisition
 - o IT software and hardware acquisition
 - o Repairs/construction in leased/APHIS-owned buildings
 - o Special purchasing requirements
 - o Printing & distribution service, including copier rental or purchases
- **Information Technology (sub tab 5B-4)**
 - o IT acquisition & waivers
 - o Telecommunication equipment and services
 - o Connecting to APHIS network
 - o New applications on the APHIS network
 - o IT procedures in an emergency
- **Financial Management (sub tab 5B-5)**
 - o Accounting
 - o Agreements
 - o Travel
 - o Payments and Reimbursements
 - o Bill and Deposits
- **Investigative and Enforcement Services (sub tab 5B-6)**
 - o Tracing movements of animals, plants or agricultural products
 - o Quarantine enforcement
 - o Violation of Federal & State laws and regulations
 - o Guidance on regulatory inspections and other actions
 - o Select agents under the Agriculture Bioterrorism Act of 2002
 - o Coordination with law enforcement agencies

In preparing the plans and proposals for new programs or emergency response incidents, managers will need to include appropriate information about all these aspects of administrative management. The level of detail about each administrative aspect will depend on if the program will be doing something outside of the normal administrative support provided by MRPBS. For emergency incidents, the administrative management systems of the Incident Command System will be in place. Therefore the plans and proposals for emergency responses need only provide details about administrative support issues different from the incident command system. Emergency incident managers will need to work closely with the MRPBS Deputy Administrator to ensure that appropriate information about the administrative support to the incident is in the planning and proposal documentation.

Human Resources

As a management support organization, the Human Resources Division (HRD) has a responsibility for ensuring that mission area programs are able to acquire and utilize the personnel needed to carry out the work of the organization. In that regard, the HRD will be directly involved in attracting and retaining an Agency workforce possessing the scientific, technical, and other expertise needed to carry out the Strategic Mission Priorities identified in the Strategic plans for the MRP mission area agencies.

At any time, these issues are extremely important; however, they become even more critical in an emergency situation when the Agency is confronted with a variety of issues related to establishment of emergency positions, hiring temporary employees, ensuring that compensation and leave policies support the work to be done, and that supervisors have support to effectively manage employees in unusual situations.

The following information addresses some of the main human resources policies that managers need to address in setting up or managing a program or managing an emergency incident.

Policy Issue	HRD Contact
1. Establishing a new organizations or organizational components	Human Resources Enhancement Branch, 301-734-6466
2. New or revised position descriptions	Human Resources Operations: Field: 612-336-3281 Headquarters: 301-734-8428
3. Filling positions	Human Resources Operations: Field: 612-336-3282 Headquarters: 301-734-8428
4. Employee conduct or performance issues	APHIS Employee Relations Branch 301-734-4414
5. Tours of duty, official time, or leave	Human Resources Enhancement Branch, 301-734-6466
6. Bargaining unit employees and labor relations implications	Labor Relations Branch 202-720-9817
7. Employees' pay	Human Resources Operations: 612-336-3281
8. Employee records, processing actions to hire employees, changing employment status	Human Resources Operations: 612-336-3281

1. Establishing a new organization or organizational components

Departmental Regulation 1010-001 requires that the Assistant Secretary for Administration approve major organizational changes. Such changes include:

- Establishment, abolishment, or transfer of a headquarters unit, down to an including the division level; or a headquarters unit that reports directly to an administrator
- Abolishment of a field unit or transfer of a field unit to another congressional district

The Human Resources Enhancement Branch assists in development of the required submission to the Department for approval, and coordinates submission for approval.

Contact: Human Resources Enhancement Branch,
301-734-6466

2. New or revised position descriptions

The Classification Section in Human Resources Operations has established a library of standard jobs used in prior emergencies for review by program managers in initial assessment in specific emergency situations to facilitate rapid identification of types of positions needed. That information can be accessed on-line at <http://www.aphis.usda.gov/mrpbs/classification/aphis.html>. Positions typically filled, for which standard jobs have been established include:

- a. Veterinary Medical Officer
- b. Animal Health Technician
- c. PPQ Officer
- d. PPQ Technician
- e. Administrative positions

In addition, the Classification Section can assist managers in the development of position descriptions, and establishment of additional positions as needed to support unique situations. They will also advise Emergency Program managers on position management/organization design issues in support of efficient and effective emergency program operations.

Contact: Human Resources Operations,
Field – 612-336-3281
Headquarters – 301-734-8428

3. Filling positions

The Staffing Sections in Human Resources Operations will work with the programs to assist in filling positions needed related to a variety of situations. In emergency situations, managers may wish to consider some or all of the following;

- Use of private sector temporary help agencies.
- Special hiring authorities available for Excepted Service:
 - a. Schedule A-limited to technical or helper positions at or below the GS-7 or WG-10
 - b. 30-day emergency appointments-may be used for any type of job

Competitive Service:

- a. Reinstatement of former employees i.e. annuitants
 - b. Temporary or Term Appointments
- Requesting approval for additional hiring authorities. (It is recommended that the need for such authorities be identified as early as possible to allow time required for external approvals.)
 - Establishing or maintaining rating plans (or automated question libraries) for positions to be filled in emergency situations through competitive staffing procedures.

- Advertising vacancies that will be filled through competitive procedures, rating and ranking applications, and referring candidates to the program official authorized to make selections.
- Ensuring availability of emergency-specific new employee orientation materials and ensuring that program support personnel are aware of such materials to orient new employees.
- Documenting selections and ensuring that required supporting documentation is completed so that scheduled reporting (enter on duty) dates can be met.

Contact: Human Resources Operations

Field: 612-336-3282

Headquarters: 301-734-8428

4. Employee conduct or performance issues

The Employee Relations Branch works with supervisors and managers to help them resolve problems involving conduct and performance issues, providing advice and guidance as necessary. Where appropriate, they will draft disciplinary letters for signature by the appropriate supervisor or manager, including letters of reprimand, suspensions, removals and involuntary demotions. They will also draft other letters, such as leave restriction letters and performance improvement letters. In addition, Employee Relations will work with managers to provide training for new supervisors/employees in such areas as ethics, conflicts of interest, standards of conduct, etc.

Contact: Employee Relations Branch, 301-734-4414

5. Tours of duty, official time, or leave

Policy guidance related to pay, leave, and tour of duty issues is available on-line at http://www.aphis.usda.gov/mrpbs/pay_leave_tod.html, and in the Human Resources Desk Guide. In addition, the Human Resources Enhancement

Branch can advise on applicability of pay cap waivers, the appropriateness of their use, and can coordinate with the Department to obtain any necessary approvals. In addition, they will provide policy interpretation on applicability of pay, leave, and tours of duty to individual situations and develop SOPs on flexibilities available for use.

Contact: Human Resources Enhancement Branch,
301-734-6466

6. Bargaining unit employees and labor relations implications

The Labor Relations Branch provides guidance to program managers in areas related to conditions of employment for employees represented by collective bargaining agreements, in accordance with Federal Labor Relations statutes.

Contact: Labor Relations Branch, 202-720-9817

7. Employees' pay

Human Resources Operations will provide training/ensure availability of SOPs for program support personnel on preparation and processing of time and attendance (T&A) reports. They also will troubleshoot pay problems and monitor T&A processing to ensure prompt and accurate payments for employees on the Federal rolls.

Contact: Human Resources Operations, 612-336-3281

8. Employee records, processing actions to hire employees, or changing employment status

Human Resources Operations processes personnel actions related to emergency program assignments. In addition, they establish and maintain official personnel files and related records for emergency personnel hired as Federal employees.

Contact: Human Resources Operations, 612-336-3281

Employee Services

The Employee Services Division (ESD) is dedicated to providing the highest possible level of service to APHIS employees in facilities management, safety, health, and employee wellness, national security, training and employee development, and conflict resolution and prevention.

At any time, these issues are extremely important, however, they become even more critical in an emergency situation where special space, equipment, or training may be needed in order to properly handle the emergency.

The following information addresses some of the main employee services policies that managers need to address in setting up or managing a program or managing an emergency incident.

Policy Issue	Contact
1. Personal protective equipment	Safety, Health and Employee Wellness Branch (301) 734-6116
2. Employee health and well-being	Employee Assistance Program 1-800-222-0364
3. Workers Compensation	Workers Compensation Program Manager (301) 734-6116 (301) 734-7828 (fax)
4. Facilities and space	National Security Team (301) 734-6503 WR: (970) 494-7169 ER: (301) 734-5662 Safety, Health, and Employee Wellness Branch (301) 734-5577
5. Training	Training and Development Branch (301) 734-3153
6. Disputes between individuals or teams that are negatively affecting the mission	Conflict Prevention and Resolution Branch (301) 734-4950
7. Hazardous materials	Safety, Health and Employee Wellness Branch (301) 734-5577
8. Environmental permits	Safety, Health and Employee Wellness Branch (301) 734-5577

1. Personal protective equipment

Depending upon the specific nature of the program or emergency situation, personal protective equipment may or may not be required. The basic requirements are:

- Personal Protective Equipment (PPE) is used as a barrier between the individual and a hazard that could result in an injury or occupational illness. PPE will be required only after other methods of eliminating the hazard, such as engineering controls, administrative procedures, and training, have been found unfeasible.
- Emergency program managers/supervisors must perform and document job hazard assessments. The hazard assessment should be performed in concert with safety and health specialists. PPE shall be acquired, maintained, and used correctly by APHIS for all jobs/procedures when the hazard assessment indicates that PPE is required.

Contact: Safety, Health and Employee Wellness Branch, 301-734-6116

2. Employee health and well-being

The APHIS Wellness Program is designed to enhance the health and well-being of APHIS' employees. The objective of the Wellness Program is to encourage employees to generate a healthy attitude and lifestyle and to develop habits that will improve their health and morale, and prevent illness. This will result in increased productivity and reduced absenteeism, workers' compensation expenses, turnover rate, deaths, and premature retirements.

The Employee Assistance Program (EAP) is a professional counseling and referral service to help APHIS employees with personal and professional problems. It is free, confidential and voluntary. EAP can assist employees with emotional, family, marital, alcohol or drug use/abuse, relationship problems, and other issues.

Contact: Employee Assistance Program, 1-800-222-0364

3. Workers Compensation

The Federal Employees Compensation Act provides monetary compensation, medical care and assistance, vocational rehabilitation and retention rights to Federal employees who sustain injuries as a result of their employment with the Federal government.

The Command Center of every emergency program will:

- Ensure there are ample CA-1 and CA-2 forms available for employees.
- Post the CA-10, "What Do I Do If I Am Injured" poster
- Review the CA-1 or the CA-2 after employees and supervisors have completed their respective portion to
 - o Ensure both employee and supervisor have signed the CA-1 and the CA-2
 - o Ensure all medical documentation, witness statements, and statements that disagree with the employee's claim are with the forms.

In the event of an accident or injury on an emergency project, there are several steps that must be taken immediately. The employee and their supervisor will fill out the CA-1 or 2 form, sign the forms, and include all medical documentation and witness statements. The forms must immediately be sent to:

WC Program Manager
4700 River Road, Unit 124
Riverdale, MD 20737
(301) 734-6116
(301) 734-7828 (fax)

These following types of accidents shall be reported immediately, within at least 8 hours of the occurrence of the accident. All other accidents involving employee injury or hospitalization or significant property damage may be reported by telephone by the Incident Commander as deemed appropriate.

- Job-related fatality of APHIS employee or private citizen
- Hospitalization of three or more APHIS employees or private citizens
- Job-related accident involving significant property damages exceeding \$100,000
- All aircraft accidents of APHIS-owned or leased aircraft or other aircraft if APHIS is involved.
- Accidents where there is suspicion of substance abuse, or significant negligence on the part of an employee.

The accident unit should make a report through channels to their regional director. The director will contact Safety, Health, and Employee Wellness Branch.

Contact: Workers Compensation Program Manager,
301-734-6116 or fax 301-734-7828

4. Security at APHIS Facilities

ESD's National Security Team (NST) provides emergency response to threats involving APHIS facilities and employees, and coordinates with local and federal law enforcement for employee protection. The Team manages APHIS' security guard contracts, conducts security assessments for threat mitigation and loss prevention, and makes recommendations for fencing, locks, lighting, and security alarm and access control systems.

In the event that an emergency is declared requiring the leasing of space to support response personnel, no matter the length of time of the emergency, NST must conduct a vulnerability assessment of the space prior to employees occupying the facility. The focus of the assessment will be to determine the vulnerability to theft, acts of terrorism and other forms of violence. A member of NST will be dispatched immediately upon notification that space has been acquired to support a program emergency.

ESD's Environmental Unit provides a myriad of services to support Agency mission areas. In the event that an emergency is declared requiring the leasing of space to support response personnel, no matter the length of time, the Safety, Health, and Employee Wellness Branch (SHEWB) must conduct an abbreviated Environmental Baseline Survey of the space prior to employees occupying the facility. The focus of the baseline survey will be to document existing environmental issues to minimize the risk to APHIS from being held liable for contamination caused by past occupants. The survey report will document existing environmental information related to the storage, release, treatment, or disposal of hazardous substances or petroleum products on the property.

Contact: National Security Team, 301-734-6503

WR – 970-494-7169

ER – 301-734-5662

Safety, Health, and Employee Wellness Branch, 301-734-5577

5. Training

The Training and Development Branch provides all non-technical Agency-wide professional training and development policy, services, and systems to all employees including supervisory, managerial, and executive level development, throughout the United States and overseas.

Contact: Training and Development Branch, 301-734-3153

6. Disputes between individuals or teams that have a negative affect on the mission

The Conflict Prevention and Resolution (CPR) branch provides a variety of services to enhance communications between individuals, working units, teams, and programs. Services include mediation, facilitated discussion, conflict management training, and many others. Conflict Prevention and Resolution is an alternative dispute resolution program. It utilizes a number of conflict techniques which employ the use of a neutral third party to assist employees, managers, and USDA customers in resolving disputes.

Contact: Conflict Prevention and Resolution, 301-734-4950

7. Hazardous materials

The Safety, Health, and Employee Wellness Branch (SHEWB) can assist you in the development of plans to address all spills and accidental releases for the purpose of:

- Protecting employees, others in the surrounding area, and the environment.
- Notifying the appropriate authorities in a timely fashion.
- Obtaining specialized spill/release mitigation assistance from an authorized clean-up contractor.
- Disposal of spill residue and debris which may be classified as “hazardous, medical, mixed, or special waste,” depending on constituents of waste.

Contact: Safety, Health and Employee Wellness Branch, 301-734-5577

8. Environmental Permits

SHEWB can assist you in determining if an environmental permit will be required to carry out certain tasks.

Often emergency permits can be obtained from State environmental authorities. Emergency permit applications can significantly streamline the permitting process.

Contact: Safety, Health and Employee Wellness Branch, 301-734-5577

Administrative Services

Administrative Services Division (ASD) is responsible for acquisitions. ASD conducts acquisitions that provide timely delivery of the best value product or service to the customer while maintaining the public's trust and fulfilling public policy objectives. ASD establishes internal acquisition policies and procedures and participates with program offices/customers in planning to meet strategic needs and objectives. ASD conducts acquisitions in concert with customers using a variety of contracting techniques and types. ASD issues and awards large and small dollar acquisitions contracts based on the needs of the customer.

Applicable Department Regulations

DR5013-006 — Use of the Purchase Card and Convenience Check

DR5090-4 — Rule of One Policy Under Simplified Acquisition Procedures

DR5090-2 — Annual Preference Program Goals

DR5001-01 — Warrant Certification Program

The Director of the Administrative Services Division is delegated, per Agricultural Acquisition Regulation, to act on behalf of the APHIS Administrator and to perform assigned acquisition management functions. This individual is responsible for the acquisition contracting functions for APHIS, AMS and GIPSA.

Important Note: Authorized personnel who have a SF1402 Warrant are the only people who can purchase supplies/ services over \$2,500 or award formal contracts on behalf of the Government. The only EXCEPTION to this policy is an UNUSUAL and COMPELLING URGENCY. This exception is used when the customer's need for goods or services is so urgent that the Government would be seriously injured unless it is permitted to limit sources. The justification for an exemption to this policy must clearly demonstrate how delay of the award would result in serious injury, financial or other, to the Government. A customer may not use the rationale if the urgency was caused by a lack of preparedness planning.

The following information addresses some of the main administrative services policy issues that managers need to address in setting up or managing a program or managing an emergency incident.

Policy Issue	Contact
1. Acquisition policies and use of purchase or fleet cards	Systems, Program and Policy Branch(301) 734-3703 (301) 734-3271 Fax
2. Purchasing IT hardware/software or services	Specialized Contracting Branch(301) 734-4705(301) 734-7323
3. Repairs or construction in leased or APHIS-owned buildings	Engineering Services Branch (301) 734-8263(301) 734-4846
4. Special purchasing requirements	Procurement Branch(612) 336-3224(612) 370-2136
5. Printing and distribution services	Printing, Distribution and Mail Branch(301) 734-5524(301) 734-8455

1. Acquisition policies and use of purchase or fleet cards

Managers or supervisors can request authority and guidelines from Systems, Programs and Policy Branch (SPPB) for non-warranted personnel to use a Purchase Card to purchase supplies or services up to \$2,500 (\$2,000 for construction).

If you need assistance in the following areas, please contact SPPB:

- MRP Form 35-R (Application for the Government Purchase Card)
- Fleet /Gas Card Application
- Warrant Certification

The Systems, Programs and Policy Branch (SPPB) perform the following functions with the collective goal of fostering acquisition management excellence:

- Department Policy Initiatives and Program Support- Purchase Card Program, budget review process, and Internal Review Boards
- HCAD and management support;
- Acquisition Workforce Development- Programs for Career Management, Warrant Certification, Training and Development, Contracting Officer Representative (COR);
- Performance Assessment/Improvement—Regulatory Compliance;
- Fostering innovation and streamlining- Implementation of Government-wide acquisition reform initiatives,
- Participation in Department's Procurement Council and interagency working groups and committees.

Contact

USDA/MRP/ASD/Systems, Program and Policy Branch
4700 River Road
Unit 45
Riverdale, MD 20737
Phone: (301) 734-3703
Fax: (301) 734-3271

2. Purchasing IT hardware/software or services

ASD Specialized Contracting provides full operational procurement services for acquiring information technology and telecommunications hardware and software. Also, this organization provides procurement related services for declared emergencies and/or disasters.

Planning Checklist

Dollar Threshold	Procurement Requirements
\$0 - \$2,500	Submit PRISM Request (AD-700) to RVDL Purchasing No Competition Required
Over \$2,500	Submit PRISM Request (AD-700) to RVDL Purchasing Competition Required

Contact

USDA/MRP/ASD/Specialized Contracting Branch
4700 River Road
Unit 45
Riverdale, MD 20737
Phone: (301) 734-4705
Fax: (301) 734-7323

3. Repairs or construction in leased or APHIS-owned buildings

The Engineering Services Branch provides architectural/engineering and construction contracting services in the areas of planning, design, construction, utilities, alterations, repairs and installation of fixed equipment in APHIS-owned/leased building and facilities. Construction projects range from minor renovations to constructing new multi-million dollar facilities.

Contact

USDA/MRP/ASD/Engineering Services Branch
4700 River Road
Unit 115
Riverdale, MD 20737
Phone: (301) 734-8263
Fax: (301) 734-4846

4. Special purchasing requirements

The Procurement Branch provides full operational procurement services for acquiring goods and services.

Planning Checklist

Dollar Threshold	Procurement Requirements
\$0 - \$2,500	Submit PRISM Request (AD-700) to RVDL Purchasing No Competition Required
Over \$2,500	Submit PRISM Request (AD-700) to RVDL Purchasing Competition Required

Contact

USDA/MRP/ASD/Procurement Branch
100 North 6th Street
Butler Square 5th Floor Unit 45
Minneapolis, MN 55403
Phone: (612) 336-3224
Fax: (612) 370-2136

5. Printing and distribution services

Printing, Distribution, and Mail Branch provides procurement services for printing and advises on purchase of copiers.

Contact

USDA/MRP/ASD/Printing, Distribution and Mail Branch
4700 River Road
Unit 1
Riverdale, MD 20737
Phone: (301) 734-5524
Fax: (301) 734-8455

Information Technology

The APHIS MRPBS Information Technology Division (ITD) is dedicated to providing the highest possible level of service to APHIS employees in application development, investments, desktop infrastructure, telecommunications, and systems management.

These issues are extremely important; however, they become even more critical in an emergency situation when there is a need to connect to the network, communicate with people at different locations, or to use agency applications through the LAN/WAN.

The following information addresses some of the main information technology policy issues that managers need to address in setting up or managing a program or managing an emergency incident.

Policy Issue	Contact
1. IT Acquisition & Waiver	Forecasting & Planning Services Unit 102 Riverdale, MD (301) 734-8102 (301) 734-3376
2. Telecommunications equipment or services	Technology Resource Management Unit 104 Riverdale, MD (301) 734-3252
3. Connecting to the APHIS network	Customer Service Unit 102 Riverdale, MD (301) 734-5152 (301) 734-3376
4. Developing or implementing a new application on the APHIS network	Application and Information Management Unit 103 Riverdale, MD (970) 494-7096
5. IT Procedures in emergency situations	Emergency Response Coordinator Unit 102 Riverdale, MD (301) 734-4861

1. IT Acquisition & Waiver

Directive 3220.1 gives general policy related to obtaining a waiver for requirements for various purchases.

- Any IT expenditures above \$25,000 are required to have a waiver
- Any software or hardware for major systems within functional areas of the Department's Corporate Administrative and Financial Systems Portfolio need a waiver
- Telecommunications purchases at new or relocated site that are NOT listed under the FIR (Forecast Inventory Reporting) system, regardless of cost, need a waiver
- Any eGov enabling technologies that duplicate eGov Presidential Initiatives or USDA Smart Choices require a waiver

Contact: Forecasting & Planning Services,
301-734-8102,
301-734-3376

2. Telecommunications equipment or services

Network Systems Policy: Admin. Notice 04-1

- ALL server installations to APHIS networks MUST BE coordinated through ITD
- The directive also lists the procedures you need to use to request the server installation

The Technology Resources Management (TRM) Team manages the APHIS Information Technology Infrastructure (AITI) with an emphasis on the systems and telecommunications components of the AITI. TRM is responsible for:

- Systems management for all APHIS Enterprise servers such as Lotus Notes, Firewall, Oracle, Netbackup, and Web.

- Providing technical guidance and direction for the configuration management, implementation, and operation of APHIS Departmental server (NT File, Print and Application).
- Managing all aspects of the Telecommunications services and infrastructure for the Agency worldwide.
- Providing reliable, cost effective, and secure voice/video/data/radio/wireless communications to all Agency employees.

Contact: Technology Resource Management, 301-734-3252

3. Connecting to the APHIS Network

The Customer Service Branch is responsible for customer service support activities that include: coordination of headquarters, Minneapolis, and regional CS activities, management of the desktop infrastructure, and operation of the APHIS Technical Assistance Center (ATAC) for information technology problems.

Contact: Customer Service, 301-734-5152

4. Developing or implementing a new application on the APHIS network

The Application and Information Management (AIM) Team provides planning, development, and implementation support for administrative and application systems.

AIM defines, develops, implements, administers, and maintains the APHIS applications and web architectures; provides planning and integration support for Department eGovernment initiatives; and provides forms, issuances, and records management services.

Contact: Application and Information Management,
970-494-7096

5. IT Procedures in emergency situations

The Emergency Response Coordinator's primary function is to serve as the coordinator of information technology services for the APHIS emergency operations.

For emergencies there is official APHIS Procedural Guidance, which includes the IT roles of various personnel in the incident command structure – Incident Commander, IT First Responder, Program Customer Support, Program IT Regional Coordinators, and APHIS Technical Assistance Center (ATAC).

The guide also defines the tasks of IT personnel during various phases of the response:

During the mobilization phase:

- Identifying IT personnel and their roles
- Developing a Statement of Work for voice and data networking requirements
- Conducting a Cost-Benefit Analysis (using 3 vendor recommendations)
- Monitoring Contracts
- Establishing a Command Center and
- Developing an on-site IT Customer Support System

During the Operational phase:

- Asset Management Control processes to be implemented;
- Records Management Control processes to be implemented;
- Transition Responsibilities from the IT First Responder to the IT Regional Coordinator;
- All Operational Tasks to be executed including:
 - o Organizational charts and contact information
 - o Records management systems;
 - o Project plans to manage contractor deliverables;
 - o Identification of on-site training needs;
 - o Complete procurement orders

During the Demobilization phase:

- The disposition of equipment;
- Documenting Lessons Learned; and
- Close out of Support Personnel Contracts;

Contact: Emergency Response Coordinator, 301-734-4861

Additional Contact Information

If you need to have other questions regarding IT policy or procedures during an emergency, additional contacts include:

Emergency Response Coordinator:
Dan Dove: 301-734-4861

Eastern Regional Customer Service Manager:
Raleigh, NC 919-855-7130

Western Regional Customer Service Manager: Ft. Collins,
CO 970-497-7111

APHIS Technical Assistance Center (ATAC): 919-855-7131

Financial Management

The Financial Management Division provides a variety of services in the areas of: financial management, systems, and reporting; budget execution; travel and agreement services; user fee development; trust fund management; processing miscellaneous payments; processing billings and collections and managing the agency's debts; and providing program oversight and management improvements through reviews.

The following information addresses some of the main financial management issues that managers need to address in setting up or managing a program or managing an emergency incident.

Issue	Contact
Accounting	
1. Tracking expenses (accounting codes)	E-mail: FFIS Codes Phone: 612-336-3246
2. Access to the Foundation Financial Information System (FFIS) and the Financial Data Warehouse (FDW)	E-mail: MRPBS FMD Security
3. Purchasing the BRIO financial reporting tool	Specialized Contracting Branch 301-734-4703
4. Accounting Adjustment	E-mail: MRPBS FMD – BEST Phone: 301-734-8351
5. Training employees on how to track spending Agreements	E-mail: Vikki Souku Phone: 612-336-3247
Agreements	
6. Agreements and other types of instruments that define program collaboration with entities outside APHIS (MOU, Grant, etc.)	Agreements Services Center Manager (301) 734-8792 (301) 734-8064 faxYour call will be directed to the proper Regional Program Manager or Agreement Specialist

Travel	
7. Travel Policy and Procedures Payments and Reimbursements	Travel Services Center Manager(301) 734-8888(301) 734-5972 fax
Payment and Reimbursements	
8. SF 1164 Claim for Reimbursement for Expenditures on Official Business	Payments team at 612-336-3237
9. Training classes	Payments team at 612-336-3237
10. Federal Express bills	Contact Fed Ex at 1-800-645-9424
11. One-time payments of non-sensitive items under \$2,500 (when vendor does not take the PCMS card)	Payments team at 612-336-3237
12. Emergency wire transfer payment (when PCMS card does not work in the situation)	Accounting Team at 612-336-3247 or 612-336-3237
13. Telephone and utility bills	ITD Telecommunications team at 612-336-3387 or 612-336-3385
14. Motor vehicle, tort, or employee claim against the government	Call 612-336-3384 for specific guidance in this area.
15. Requesting and using a PCMS purchase card	Call 612-336-3384
Billing and Deposits	
16. Billing another federal agency	Call 612-336-3293
17. Billing the military (Department of Defense billing to someone other than a federal agency)	Call 612-336-3293
18. Miscellaneous billing to someone other than a federal agency	Call 612-336-3293
19. Depositing funds received for	Call 612-336-3384

Accounting

1. Tracking expenses (accounting codes)

If there are no unusual reporting needs for tracking spending for the emergency or new program, new codes can be established using existing procedures. You will most likely want to track spending under a new program line item (called Reporting Category in FFIS). Contact your Budget and Program Analysis Staff (BPAS) representative to get a new reporting category established. Once this is done, budget analysts at the regional level will need to send the request for the new accounting codes to FFIS Codes, a Lotus Notes database. Minneapolis will establish the codes and spending can begin immediately.

If you have unique requirements for tracking spending and you believe the standard accounting code will not meet your needs, please contact the Financial Systems and Reporting Branch at 301-734-8351 to discuss other possibilities.

Contact: 612-336-3246

2. Access to the Foundation Financial Information System (FFIS) and the Financial Data Warehouse (FDW)

Referring to the instructions attached to the form, new users must complete an AD 1143, Foundation Financial Information System (FFIS) and FFIS Data Warehouse User Registration/Change Request Form. The form can be found on the following website: <http://www.aphis.usda.gov/mrpbs/forms/ad/ad1143.pdf>,

If assistance is needed in completing the form or there are other questions, please send those requests to the MRPBS FMD SECURITY e-mail address and the security team will systematically respond to those. Fax the completed form to 443-583-0091. Processing may take anywhere from one to three weeks. Fill in all required information and fax to the

number above or there will be a delay in processing your request.

Upon submitting the form for processing, the user will receive a confirmation that the request has been received and instructions on completing interactive training lessons at the APHIS FFIS/FDW CBT website. Ideally, training should begin prior to receiving new security accounts.

Once security processing is complete, FMD Security will send a special security notification to the user with specific details on their new accounts and new passwords including instructions on logging into the system.

Contact: EMAIL: MRPBS FMD Security

3. BRIO financial reporting tool

APHIS uses three different versions of BRIO software, depending on the user's needs. Determine which product meets your needs (a description of each is given below), contact ATAC to determine the version of the software APHIS currently uses (as of February 2005, APHIS uses version 8), procure the software (suggested sources are listed below), and contact ATAC to install the software.

BRIO Query **Explorer** delivers query, analysis, and reporting capabilities for power users who need to directly access data sources.

BRIO Query **Insight** delivers analysis, and reporting functionality within a Web browser for Internet access to information in the Financial Data Warehouse. Insight users are usually analysts who occasionally need to make modifications to existing reports. The Financial Systems and Reporting Branch recommends that most users procure this product.

BRIO Query **Quickview** offers simplified report viewing and data refresh for users who need to view canned reports. Quickview is purchased by APHIS in groups of 100; therefore you do not need to procure it locally.

Suggested BRIO Procurement Sources

- ADTC contact Linda Knutson at (703) 256-0267 or (800) 807-6732
- BRIO Software contact Gary Bernat, Internet Sales Account Manager, Mid Atlantic & Federal Territory,
- BRIO Software at 408-496-7822 Phone, 408-496-7610 Fax, gbernat@brio.com,
- BRIO Software on the web at: www.brio.com,
- Government Micro Resources, Inc., 7403 Gateway Ct, Manassas, VA 20109, (703) 330-1199

Contact: Specialized Contracting Branch
301-734-4703

4. Accounting Adjustments

The purpose of an accounting adjustment (B2) is to move expenditures from an existing program code in the Foundation Financial Information System (FFIS) to another program code. This process is usually completed by the budget person associated with one of the programs involved. It must be coordinated between the two.

There are many elements to take into consideration when determining if an accounting adjustment is necessary. The B2 Policy located on the Quick Tips website, <http://www.aphis.usda.gov/mrpbs/ffis/> defines all the parameters that must be reviewed before completing the adjustment. Most importantly, the transaction must be closed in FFIS and the original document cannot have been processed through the payroll, (Personal Property) PROP, or (Purchase Card Management System) PCMS feeder systems. Exceptions can be made for transactions from the payroll system. Please review the B2 Policy completely before making any adjustments.

Contact: FMD, BEST, 301-734-8351

5. Training employees on how to track spending

Computer based training (CBT) is the preferred source of training. You may find the CBT at <http://www.aphis.usda.gov/mrpbs/ffis/cbt/>. The FFIS 101, Reports, and Spending lessons are an excellent aid to your understanding of how to track spending.

Live training is scheduled at least twice a year for those needing it.

Contact: Accounting Team, 612-336-3247

Agreements

6. Agreements and other types of outside agency funding instruments (MOU, Grant, etc.)

The Agreements Services Center is responsible for agreements execution and administration including review and/or development, policy development, interpretation and guidance and other related support activities. The type of instrument to be executed depends on many factors.

- An **interagency agreement** should be used if APHIS is cooperating with another Federal Agency in a project involving a transfer of funds.
- A **contract** should be entered into if APHIS is procuring goods or services (except from another Federal agency) primarily for APHIS' benefit or use or if APHIS is acquiring an intermediary service to provide goods or services to a third party. If this is the case, contact your Management Support Staff and the MRPBS Administrative Services Division Procurement Branch to proceed. APHIS' Acquisition regulations contain more information.

- A **cooperative agreement** should be entered into if APHIS provides services to a cooperator (except for another Federal agency) in return for payment or if APHIS supports a non-federal cooperator with funds or transfers something of value and has significant involvement in the project being funded.
- A **cooperative arrangement** should be used if APHIS is delegating authority to a state authority.
- A **memorandum of understanding** should be used if APHIS participates in a project where no funds or things of value are transferred, yet the parties are cooperating on a common project.
- A **cooperative service agreement** should be used if APHIS provides services to a cooperator (except for another Federal agency) in return for payment.
- A **grant** should be used if APHIS is supporting a non-federal cooperator with funds or transfers something of value but APHIS has no significant involvement in the project being funded.

Contact: Agreements Services Center, 301-734-8792 or contact your Regional Program Manager or Agreement Specialist

Travel

7. Travel Policy and Procedures

The Travel Services Center develops Agency policies and instructions on travel and relocations to ensure compliance with the Federal Travel Regulations. This includes written and oral travel advice, technical guidance, and instructions on travel-related issues. Travel policies for emergencies are not different than regular travel, except emergency travel is usually expedited through the process. The following bulleted information provides the basic information you

need to travel on APHIS business; however, if you have any questions, please call your program's travel representative or an APHIS Travel Coordinator in the APHIS Travel Services Center.

There are three sets of regulations that govern Federal travel, including Federal travel for an emergency: Federal Travel Regulations, Departmental Regulations, and Marketing and Regulatory Program Regulations. Official travel must be accomplished in a manner to perform the business of Government and to minimize the cost of travel.

- **Travel authorization:** Your supervisor must approve all travel (except for local travel) to be performed on behalf of APHIS and/or paid with APHIS funds on a Travel Authorization, AD-202, prior to the start of travel. In emergency situations, considered to be less than two work days notice, the AD-202 should be hand-carried for approval, if practical. It is the employee's responsibility to make sure this form is approved prior to departing on official travel.
- **Travel card:** You may use the Government travel card only for official travel expenses related to transportation, lodging and other authorized travel costs. Your travel card may not be used for personal purchases. You must pay your travel card bill by the due date and retain copies for your records.
- **Travel Arrangements:** Make travel reservations through the APHIS Travel Contractor, (Electronic Data Systems') EDS as of January 1, 2005. Either follow the self-service process at www.fedtraveler.com (cost = \$11.00 as of January, 2005) or use the full-service process by calling (866) 876-8020 (cost = \$27.09 as of January, 2005.)

- **Making a Travel Claim:** Upon completion of travel, gather airline, lodging, car rental receipts, etc., and complete a Travel Voucher, AD-616. Miscellaneous expenses that are ordinary and necessary to accomplish the official business purpose are reimbursable. Vouchers must include an explanation of why an expense was incurred, and all miscellaneous expenses greater than or equal to \$75 must be supported by a receipt. This travel voucher should be presented to your supervisor for approval within five days of your return. If you are on continuous travel, you must submit a travel voucher every 30 days. Retain a copy of your travel records and receipts for audit purposes.

Contact: Travel Services Center, 301-734-8888

Reimbursements and Payments

8. SF 1164 Claim for Reimbursement for Expenditures on Official Business

The Payments Team provides regulations and processes APHIS miscellaneous payments not processed through NFC. Mail the completed SF 1164 form and associated paperwork to: APHIS, MRPBS, FMD, Payments Team, 100 North 6th St, 510C, Minneapolis, MN 55403.

Contact: 612-336-3237

9. Payments for Training Classes

The Request, Authorization, Agreement and Certification of Training for SF 182 form is used for this process. It can be paid by PCMS card (by calling the vendor and using the PCMS card) or by mailing the form to the Payments Team.

The Payments Team provides regulations and processes APHIS miscellaneous payments not processed through NFC. If not paying using the PCMS card, mail the SF 182 form and associated paperwork to: APHIS, MRPBS, FMD, Payments Team, 100 North 6th St, 510C, Minneapolis, MN 55403.

Contact: 612-336-3237

10. Federal Express Bills

The PCMS purchase card can be used to set up automatic payments with Federal Express. Federal Express will automatically charge each shipment to your credit card account. The charge will appear on the Transactions screen in PCMS with the merchant name "FEDX and the shipment date" and the tracking numbers (Air Bill Number) will appear in the Merchant City. To track the shipment or verify the charge, you may visit the Federal Express website at <http://www.federalexpress.com>. If you wish to use this method to pay for federal express charges, please contact Fed Ex at 1-800-645-9424 to request this change.

11. One-time payments of non-sensitive items under \$2,500 (when vendor does not take the PCMS card)

The Payments Team provides regulations and processes APHIS miscellaneous payments not processed through NFC. Mail the invoice and associated paperwork to: APHIS, MRPBS, FMD, Payments Team, 100 North 6th St, 510C, Minneapolis, MN 55403.

When submitting the invoice, you must include the following:

- Appropriate Program Code.
- Invoices or forms must be approved and signed by the approving official, printed name, date and the words “I certify the bill is correct”.
- Receipts or supporting documentation.
- Tax Identification Number (Employer Identification Number or Social Security Number) of the Vendor.

Contact: 612-336-3237

12. Emergency wire transfer payment (when PCMS card does not work in the situation)

Emergency and “one-shot” payments that must be paid within one business day are processed by the Payments Team using the Electronic Certification System (ECS). Merchants/vendors will receive their payments the same day (if paperwork received by 1:00 PM Central Time). Manual checks can also be issued out of this system and sent by Federal Express. In order to process the wire transfer the following is needed:

- Receiving Bank Name, City and State.
- ABA Number (receiving bank routing number (9 digits)).
- Account Number (bank account number).
- Name on the Bank Account.
- Dollar amount
- Program code.
- Invoices and Supporting Documentation

Contact: 612-336-3247 or 612-336-3237.

13. Telephone and utility bills

When local service is established, the local carrier assigns a site billing telephone number (BTN). You must go online to the NFC’s Telephone and Utilities Maintenance System (TUMS), which replaced the AD-474 Form. The website is <http://www.nfc.usda.gov> . Click on the TUMS system to

establish the BTN and the accounting code. If you wish to view your accounts on line to check your phone charges, you may also ask for access to the TELE feeder system. If you do not want access to the TUMS system, you may send the phone bill along with the accounting code and the T&A contact point to the ITD Telecommunications Team in Minneapolis. They will set it up for you and then forward the bill to NFC for processing.

When the vendor bills NFC monthly for the telephone charges, the system distributes the charges according to the Billing Telephone Number and related accounting codes. The charge appears by accounting codes on the monthly FFIS/BRIO Financial Data Warehouse Detail Transaction Report (Accounting Report) with the payment system acronym “TELE-ACCOUNT”. You may choose to have the bills mailed to your office so that you can review them and then send them on to NFC for payment. Be aware that this may delay payment of the bills, if you are not able to do a timely review prior to sending them to NFC.

If you choose to mail invoices directly to NFC, you may mail them to USDA National Finance Center, Attn: Misc. Payments Section, PO Box 60000, New Orleans, LA 70160.

Contact: 612-336-3387 or 612-336-3385.

14. Motor vehicle, tort, or employee claim against the government

The Claims Team provides guidance for the administration, management, and processing of tort and employee claims by guaranteeing employees and claimants recourse for losses suffered.

Contact: 612-336-3384

15. Requesting and using a PCMS purchase card

Your purchase card coordinator can help you in both situations.

Contact: 612-336-3384

Billing and Deposits

16. Billing another federal agency

The Intra-governmental Payment and Collection System (IPAC) is an electronic funds transfer method used by Federal Government agencies to collect payments between agencies for goods and services. In addition see the next issue for Department of Defense specific information.

To bill through IPAC, use the AD Form 673, Request to Bill. Complete instructions for completion and distribution of the form can be found at <http://www.aphis.usda.gov/mrpbs/ffis/aphis.html>

Mail the invoice and associated paperwork to: APHIS, MRPBS, FMD, Billings and Collections Team, 100 North 6th St, 510C, Minneapolis, MN 55403.

Contact: 612-336-3293

17. Billing the military (Department of Defense)

We can bill a DOD agency through IPAC only if you have a Trading Partnership Agreement (TPA). When the bill is issued, the TPA must be in place and referenced on the bill. When negotiating the agreement with a DOD agency, ask the DOD contact to initiate a TPA. If you do not have a TPA in place, you must bill the DOD agency with an SF 1080. The SF 1080 and instructions for its completion and distribution can be found at <http://www.aphis.usda.gov/mrpbs/ffis/aphis.html>

Mail the invoice and associated paperwork to: APHIS, MRPBS, FMD, Billings and Collections Team, 100 North 6th St, 510C, Minneapolis, MN 55403.

Contact: 612-336-3293

18. Miscellaneous billing to someone other than a federal agency

You would request that a miscellaneous bill be issued. These bills arise from several sources, the most common being motor vehicle accidents, interagency agreements, and overpayments on agreements resulting from audit findings.

Use the APHIS Form 90 for requesting a miscellaneous bill. This form and the instructions for completing it can be found at: <http://www.aphis.usda.gov/mrpbs/ffis/aphis.html>

Mail the invoice and associated paperwork to: APHIS, MRPBS, FMD, Billings and Collections Team, 100 North 6th St, 510C, Minneapolis, MN 55403.

Contact: 612-336-3293

19. Depositing funds received for the government

The Collections Team can provide guidance for any type of funds received.

Contact: 612-336-3384

Investigative and Enforcement Services

Investigative and Enforcement Services (IES) has professionally trained field investigators stationed throughout the United States. They conduct investigations, support regulatory program action, and coordinate investigative and enforcement efforts within APHIS and with other Federal, State and international agencies. IES supports the APHIS programs in helping the regulated individuals and industries achieve compliance with APHIS regulations.

In emergencies, IES is committed to respond in a timely manner with the appropriate resources to support the APHIS program action. Depending on the level and severity of the incident or emergency, IES is prepared to deploy “Quick Response Teams” (QRT), staff a Regulatory Enforcement Branch (REB) in the Incident Command Center, or use a combination of both. The QRT or REB may be used for investigating violations, tracing organisms and hosts, seizing prohibited material, enforcing quarantines and performing other high profile investigative, regulatory or enforcement activities where timely and professional response is critical. In these emergencies, IES personnel have been delegated the required authority to perform these critical functions, so please contact the appropriate IES office to request support.

The following information addresses some of the main investigative and enforcement issues that managers may need to address in setting up or managing a program or managing an emergency incident.

Issue	IES Contact
1. Tracing the movement of animals, plants, or agricultural products	Eastern Region John Kinsella, Regional Director USDA/APHIS/IES 920 Main Campus Drive Suite 200 Raleigh, NC 27606 Phone: (919) 855-7080 Fax: (919) 855 7090
2. Enforcing a quarantine	
3. Violations of Federal/ State laws or regulations	Western Region Timothy Fordahl, Regional Director USDA/APHIS/IES 2150 Centre Avenue Bldg. B 3W10 Fort Collins, CO 80526 Phone: (970) 494-7485 Fax: (970) 494-7487
4. Guidance on regulatory Inspections or other actions	
5. Select agents regulated under the Agricultural Bioterrorism Act of 2002	Headquarters Director USDA/APHIS/IES 4700 River Road Unit 85 Riverdale, MD 20737 Phone: (301) 734-8684 Fax: (301) 734-4328
6. Coordination with saw enforcement agencies	

1. Tracing the movement of animals, plants, or agricultural products

IES has expertise in tracing international, interstate and intrastate movements of animals, plants and agriculture products. During an incident or program emergency, IES investigators work as a team with program officials (agriculturalists, biotechnologists, biologists and veterinarians) to trace diseased or prohibited animals, plants or products back to origin or forward through distribution channels. The investigators complement the program officials' technical expertise with skill in documenting the movements, taking sworn statements and understanding of the marketing channels.

In addition to the investigative workforce that provides trace back/trace forward activities on regulated articles, the IES Intelligence Analysis Unit can manage the data collected during the tracing using state-of-the-art information tools and maps. The IES Enforcement Staff is available to provide regulatory interpretations through the Office of the General Counsel regarding enforcement issues that may arise during the incident or emergency.

Contact: IES Headquarters or Regional Office

Eastern Region: (919) 855-7080

Western Region: (970) 494-7485

Riverdale Headquarters: (301) 734-8684

2. Enforcing a quarantine

IES is responsible for investigating alleged violations of Federal Quarantines imposed under the authority of the laws administered by APHIS. Program officials should contact IES when quarantines are imposed to work out strategies for enforcing the quarantine and when they suspect violations of the quarantine.

Prior to, or in the absence of an Incident Command Structure (ICS) being established, IES will respond (within 24 hours of notification) to high priority requests from APHIS' regulatory programs using a Quick Response Team (QRT). The QRT may be used for enforcing quarantines (monitoring boundaries, conducting surveillance regarding suspicions of quarantine violations, etc.). The QRT may also tap into IES resources such as the Intelligence Analysis Unit, Enforcement Staff, or other IES regional or field resources as needed.

Once the ICS has been established, IES will establish the Regulatory Enforcement Branch (REB) of the ICS. The REB will coordinate investigative and enforcement activities within the ICS. The REB may be involved in quarantine enforcement activities and at that time will coordinate activities with local/state Emergency Management organizations (including law enforcement) with respect to quarantine enforcement and surveillance. This includes obtaining authority/commissioning from state plant or animal health authorities to assist in the enforcement of state quarantine laws.

Contact: IES Headquarters or Regional Office

Eastern Region: (919) 855-7080

Western Region: (970) 494-7485

Riverdale Headquarters: (301) 734-8684

3. Investigating possible violations of Federal/ State laws or regulations

IES is responsible for investigating alleged violations of the program laws and regulations administered by APHIS and coordinating enforcement with the Office of the General Counsel. In any incident or emergency where the potential exists for violations, the program official should notify IES and request assistance as appropriate.

Even in situations where violations are not readily apparent and those involved appear to be cooperating, IES can be a valuable asset when brought in early in the incident, even if only in a standby mode. IES is prepared to respond within 24 hours to support APHIS programs in emergencies.

Contact: IES Headquarters or Regional Office
Eastern Region: (919) 855-7080
Western Region: (970) 494-7485
Riverdale Headquarters: (301) 734-8684

4. Guidance and support on regulatory inspections or other actions

IES provides a wide range of regulatory support to APHIS programs during incidents or emergencies. This includes having an investigator accompanying program officers on inspections in situations where the regulated party is less than cooperative or where we anticipate finding potential violations or serving legal documents such as subpoenas, seizure orders, destruction orders, inspection orders and penalty notices.

When an ICS has been established, the IES Deputy Director will designate an Enforcement Specialist, located in Riverdale, Maryland to serve as the IES Liaison to the EMOC (Emergency Management Operation Center). The Enforcement Specialist will determine applicable regulations, statutory authorities, and possible penalties for violation. They will consult with the Office of the General Counsel and prepare verbal or written responses of regulatory interpretation.

Contact: IES Headquarters or Regional Office
Eastern Region: (919) 855-7080
Western Region: (970) 494-7485
Riverdale Headquarters: (301) 734-8684

5. Select agents regulated under the Agricultural Bioterrorism Act of 2002

Select Agents are biological agents or toxins that have been determined to have the potential to pose a severe threat to animal health, plant health or agriculture products. IES is responsible for the investigating violations of the regulations regarding select agent activity (possession, use, and transfer). IES is also responsible for immediately notifying the USDA Office of Inspector General and the Federal Bureau of Investigation in cases involving select agents. The OIG and the FBI will respond in the event of an intentional introduction (bioterrorism) or criminal violation.

Contact: IES Headquarters: (301) 734-8684

6. Coordination with law enforcement agencies

IES coordinates with Federal, State, local and international law enforcement and regulatory organizations to support incidents or emergencies. IES will obtain law enforcement support for inspections, investigations, surveillance, quarantine enforcement and serving warrants and subpoenas.

Once an ICS is established and activated and the program acknowledges the need for regulatory enforcement support, IES will establish the REB. The lead IES representative (designated as the Director) will head up the REB and be available to serve as the ICS Law Enforcement Liaison. This person will be responsible for working directly with local or state officials, the ICS, local Emergency Management Organizations, law enforcement, etc.

In the event of a Declaration of a Federal Emergency, it is the responsibility of the REB Director and Law Enforcement Liaison to gain access to additional assistance of other federal law enforcement personnel as necessary.

Contact: IES Headquarters or Regional Office

Eastern Region: (919) 855-7080

Western Region: (970) 494-7485

Riverdale Headquarters: (301) 734-8684

Equal Opportunity and Civil Rights

Civil Rights Enforcement and Compliance (CREC) provides leadership, direction, coordination, evaluation, and support to the civil rights efforts of the Animal and Plant Health Inspection Service; implements and monitors APHIS' progress in achieving established policies and objectives; and integrates civil rights into the APHIS management, evaluation and information systems and processes relative to nondiscrimination in employment and program delivery.

The following three equal opportunity and civil rights components should be included by management when setting up and managing a program or emergency incident.

1. Equal Employment Opportunity Complaint Filing Information

Ensure that the APHIS EEO complaint contact person is posted at all workplace locations.

2. USDA "And Justice for All" Nondiscrimination Poster

Ensure that the USDA poster "And Justice for All" is posted in all workplaces and locations utilized by the program or activity and visited by the public, companies, or organizations.

3. Guidance for Receipt of Program Complaints of Discrimination

Ensure that all employees are aware of the process to follow when a person (non-employee), company or organization allege that they have been discriminated against in a program or activity conducted or assisted by APHIS.

Contact: APHIS Civil Rights Enforcement and Compliance
(202)720-6312

Efficiency or Refinement Planning and the PART

Section Overview:

The purpose of this section is to describe the concepts of Program Effectiveness, Program Efficiency, and how these and the other planning components in this guide relate to the Program Assessment Rating Tool (PART) being used by OMB.

While the notions of program effectiveness and efficiency are not new to government managers, they are taking on a greater role in determining future federal allocations. Formal and systematic refinement planning is more necessary than ever since government executives are being asked more frequently to provide quantifiable evidence that the work being done is actually accomplishing what it sets out to accomplish and in an efficient manner.

Senior Department Officials, the Office of Management and Budget (OMB), and Congress are using this evidence to make decisions about which federal programs should continue to be funded, which deserve increased funding, and which programs appear to be missing the mark around their intended objectives. In fact the Office of Management and Budget (OMB) uses the Program Assessment Rating Tool (PART) to systematically and consistently evaluate programs during the budgeting process. The PART is a series of questions to be answered by program managers around four key principles: Program Purpose and Design, Strategic Planning, Program Management, and Program Results.

Since the PART has become the centerpiece of the OMB budgeting review process, it is important for APHIS managers to include answers to PART questions in their program proposals. As you will see, the four key sections of the PART nicely parallel the chapters of this Planning Guide. Once you've completed much of the work already outlined in the guide, the answers to PART are much easier to address.

PART Section 1: Program Purpose and Design asks questions that can be answered once the Program Logic Model has been completed.

PART Section 2: Strategic Planning discusses many of the items discussed in the strategic planning section of the Guide, and also includes questions on some issues more closely associated with operational planning milestones and timeframes.

PART Sections 3 & 4: Program Management and Program Results focus on issues related to operational planning, including financial management, and evaluation for effectiveness and efficiencies.

What is the Difference between Effectiveness and Efficiency?

- **Effectiveness answers the question, “Does the set of program inputs and activities being performed result in the desired outcome?”**

In many cases, APHIS program managers have an intuitive sense that their program activities are making a positive difference (benefit). The difficulty can come in providing precise information as to how much of a positive difference (benefit) the work or activity is making.

Sometimes measuring effectiveness can be complicated because determining the resources that are at risk in a situation can be difficult. At times it is necessary to develop risk models that focus on a very specific set of variables (type of pest or disease, geographic area of introduction, number of potential hosts, etc.). Often these models are based on statistical methods and economic analysis that require scientists to support a set of assumptions. Assumptions around the likelihood and rate of spread for a specific pest or disease need to be made. Other questions like, “What’s the potential negative impact this pest will have on national and international commerce?” need to be estimated in order to determine program effectiveness.

- **Efficiency, on the other hand, answers the question, “What’s been accomplished for a given amount of resources?”**

It builds on the effectiveness metric by putting the Outcome (Benefit) into context with the Inputs (usually dollars). Efficiency is expressed in a Per Unit Cost of Inputs to Outcomes.

Challenges associated with measuring efficiency center on determining the actual costs of the inputs used to provide the desired outcome. Because federal resources (Inputs like people, supplies, or computer equipment) are rarely used to accomplish a single outcome, it can be difficult to attribute a portion of those inputs accurately. It may also be the case that a single desired outcome is accomplished through funding from a variety of sources (multiple federal agencies, state governments, private research institutions, academia, etc.) Under these circumstances, determining the efficiency of the program may require that all these funding sources determine their relative contribution to the desired outcome.

Tools like Activity based Costing models may help managers tease out the actual costs and more accurately reflect per unit costs.

***Note:** Answers to effectiveness and efficiency questions can help program managers determine what strategies to use to get their job done. For example, when trying to eradicate fruit flies from a given area, program managers may need to know, “Is it better (more effective and efficient) to release sterile flies over a specific geographic area, or should the potential host plants be treated with some type of repellent? Would it be better (more effective and efficient) to release sterile flies over a smaller geographic area (where fruit fly population densities are highest) and then treat only large commercial groves in the same area?”*

How does one Begin to Measure Program Effectiveness and Efficiency?

Step 1: Develop a solid, reliable way of measure the outcome or benefit (EFFECTIVENESS) of the overall program. This means developing a solid metric around effectiveness and a system for monitoring that metric. It may be useful to refer to the Program Logic Model for a clear, concise definition of the OUTCOME.

Step 2: Develop an accurate, reliable way to determine the true costs (INPUTS) associated with providing the product or service (OUTCOMES). Sometimes the complex relationships between inputs and outcomes may require using methods like Activity Based Costing (ABC) to accurately reflect “real” costs.

Step 3: Determine whether the program is COST EFFECTIVE. That is, are the benefits of the program (OUTCOMES) greater than the costs associated with providing the outcome? For example, is the value of the resource being protected (crops, herds, etc.) greater than the cost to protect it? (If the program is not cost effective, APHIS officials may have to reexamine the issue and possibly alter Agency policy or strategy.)

Step 4: Identify and “test” alternative inputs (new tools, methods, or processes) that may either improve the overall outcome (benefit) for the same costs (level of input), OR reduce the costs (inputs) for the same level of outcome (benefit).

Step 5: Quantify the level of efficiency gained by adopting these tools, methods, or processes. Sometimes it may be possible to use actual empirical data to show the increased outcome (benefit) or reduced inputs (costs). At other times it may be necessary to estimate the overall potential efficiency to be gained (for example, a new tool has been used on a limited scale, so to make this tool broadly available to all program employees, the program manager must estimate the potential cost savings if used by everyone).

Step 6: Develop a system to track and monitor program results (Outcomes or Benefits) and associated Inputs (Costs) over time.

A Word of Caution: Again, the concepts of Effectiveness and Efficiency appear to be fairly straightforward, but measuring them can be complex. APHIS' cadre of economists, statisticians, risk modelers, budget analysts, and other evaluation specialists can help program managers to develop their measurement systems. When planning such efforts, allow for an adequate amount of time to develop risk models, clarify assumptions, and quantify efficiency and effectiveness levels.

OMB's Program Assessment Rating Tool (PART)

APHIS' PART evaluations to date:

	FY 2005 PART— Monitoring and Surveillance Programs	FY 2006 PART— Pest and Disease Exclusion Programs
<ul style="list-style-type: none"> • AQI • Animal Welfare 	<ul style="list-style-type: none"> • Animal Health • Monitoring System • Emergency Management • Systems Pest Detection • Animal and Plant Health Regulatory Enforcement • Plant Methods Development Labs • Veterinary Biologics • Veterinary Diagnostics • WS Methods Development 	<ul style="list-style-type: none"> • Trade Issues Management and Resolution • Import/Export • Fruit Fly Exclusion and Detection • Foreign Animal Disease/ • Foot-and-Mouth Disease • Cattle Ticks • Screwworm • Tropical Bont • Tick

About the Program Assessment Rating Tool

OMB describes the Program Assessment Rating Tool (PART) as a diagnostic tool. The main objective of the PART review is to improve program performance. The PART assessments help link performance to budget decisions and provide a basis for making recommendations to improve results. Each question has elements/criteria you must meet when answering the question in Yes/No form. In addition, you need to provide evidence of how you meet the criteria. The following are descriptions of each focus area and examples of the types of questions we are required to answer.

1. Program Purpose and Design: To assess whether the program design and purpose are clear and defensible. A clear understanding of program purpose is essential to setting program goals, measures, and targets; maintaining

focus, and managing the program. Potential source documents and evidence for answering questions in this section include authorizing legislation, agency strategic plans, performance plans/performance budgets, and other agency reports.

- Is the program purpose clear?
- Does the program address a specific and existing problem, interest, or need?
- Is the program designed so that it is not redundant or duplicative of any other Federal, State, local or private effort?
- Is the program design free of major flaws that would limit the program's effectiveness or efficiency?
- Is the program design effectively targeted, so that resources will reach intended beneficiaries and/or otherwise address the program's purpose directly?

2. Strategic Planning: To assess whether the agency sets valid annual and long-term goals for the program. This section focuses on program planning, priority setting, and resource allocation. Key elements include an assessment of whether the program has a limited number of performance measures with ambitious – yet achievable – targets, to ensure planning, management, and budgeting are strategic and focused.

- Does the program have a limited number of specific long-term performance measures that focus on outcomes and meaningfully reflect the purpose of the program?
- Does the program have ambitious targets and timeframes for its long-term measures?
- Does the program have a limited number of specific annual performance measures that can demonstrate progress toward achieving the program's long-term goals?

- Does the program have baselines and ambitious targets for its annual measures?
 - Do all partners (including grantees, sub-grantees, contractors, cost-sharing partners, and other government partners) commit to and work toward the annual and/or long-term goals of the program?
 - Are independent evaluations of sufficient scope and quality conducted on a regular basis or as needed to support program improvements and evaluate effectiveness and relevance to the problem, interest, or need?
 - Are budget requests explicitly tied to accomplishment of the annual and long-term performance goals, and are the resource needs presented in a complete and transparent manner in the program's budget?
 - Has the program taken meaningful steps to correct its strategic planning deficiencies?
 - Are all regulations issued by the program/agency necessary to meet the stated goals of the program, and do all regulations clearly indicate how the rules contribute to achievement of the goals?
- 3. Program Management:** To rate agency management of the program, including financial oversight and program improvement efforts.

- Does the agency regularly collect timely and credible performance information, including information from key program partners, and use it to manage the program and improve performance?
- Are Federal managers and program partners (including grantees, subgrantees, contractors, cost-sharing partners, and other government partners) held accountable for cost, schedule and performance results?
- Are funds (Federal and partners) obligated in a timely manner and spent for the intended purpose?
- Does the program have procedures (e.g., competitive sourcing/cost comparisons, IT improvements, appropriate incentives) to measure and achieve efficiencies and cost effectiveness in program execution?

- Does the program collaborate and coordinate effectively with related programs?
- Does the program use strong financial management practices?
- Has the program taken meaningful steps to address its management deficiencies?
- Did the program seek and take into account the views of all affected parties (e.g., consumers; large and small businesses; State, local and tribal governments; beneficiaries; and the general public) when developing significant regulations?
- Did the program prepare adequate regulatory impact analyses if required by Executive Order 12866, regulatory flexibility analyses if required by the Regulatory Flexibility Act and SBREFA, and cost-benefit analyses if required under the Unfunded Mandates Reform Act; and did those analyses comply with OMB guidelines?
- Does the program systematically review its current regulations to ensure consistency among all regulations in accomplishing program goals?
- Are the regulations designed to achieve program goals, to the extent practicable, by maximizing the net benefits of its regulatory activity?

4. Program Results: To rate program performance on measures and targets reviewed in the strategic planning section and through other evaluations. This section considers whether a program is meeting its long-term and annual performance goals. This section also assesses how well the program compares to similar programs and how effective the program is based on independent evaluations.

- Has the program demonstrated adequate progress in achieving its long-term performance goals?
- Does the program (including program partners) achieve its annual performance goals?
- Does the program demonstrate improved efficiencies or cost effectiveness in achieving program goals each year?

- Does the performance of this program compare favorably to other programs, including government, private, etc. with similar purpose and goals?
- Do independent evaluations of sufficient scope and quality indicate that the program is effective and achieving results?
- Were programmatic goals (and benefits) achieved at the least incremental societal cost and did the program maximize net benefits?

Performance Measurement

The PART emphasizes robust outcome, output, and efficiency measures, because each kind of measure provides valuable information about program performance. Collectively, these measures convey a comprehensive story regarding what products and services agencies provide, how well they do so, and with what result.

Outcome Measures

Outcomes describe the intended result from carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the public. For a tornado warning system, outcomes could be the number of lives saved and property damage averted. While performance measures must distinguish between outcomes and outputs, there must be a reasonable connection between them, with outputs supporting (i.e., leading to) outcomes in a logical fashion.

Output Measures

Outputs describe the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered). For example, an output

could be the percentage of warnings that occur more than 20 minutes before a tornado forms.

Efficiency measures

While outcome measures provide valuable insight into program achievement, more of an outcome can be achieved with the same resources if an effective program increases its efficiency. Sound efficiency measures capture skillfulness in executing programs, implementing activities, and achieving results, while avoiding wasted resources. The best efficiency measures capture improvements in program outcomes for a given level of resource use. For example, a program that has an outcome goal of “reduced energy consumption” may have an efficiency measure that shows the value of energy saved in relation to program costs.

*Keep in mind that long-term performance measures should capture part of the benefit of the program.

Long-term vs. annual performance goals

Long-term is defined as covering a long period of time considering the nature of the program, but is consistent with the periods for strategic goals used in the Agency Strategic Plan.

Annual performance goals are the measures and targets affected by an activity in a particular (generally near-term) year.

Long-term and annual measures should be linked.

"What gets measured, gets done." — Peter Drucker

INPUT	OUTPUT	OUTCOME
"Amount of resources devoted to a program activity."	"Tabulation, calculation, or recording of activity or effort, expressed in a quantitative or qualitative manner." Example: Performance measures for a job training program	"Assessment of the results of a program activity compared to its intended purpose." Example: Performance measures for a job training program
Example: Performance measures for a job training program		
<ul style="list-style-type: none"> • \$1,000,000 broken down by object class • 50 FTEs broken down by object class 	<ul style="list-style-type: none"> • 50 courses will be offered • 10,000 people will complete the courses • Exit tests of participants will demonstrate they are competent in at least 85% of skills taught in the training courses 	<ul style="list-style-type: none"> • 8,000 people trained by the program will land and keep their jobs more than 6 months • 90% of those who land jobs will earn the same or more in their new job as in their old one • 75% of those with jobs will report via survey that the skills they learned were important factors in getting the job

Guidelines For Emergency CCC Transfers

To fulfill its mission of protecting the country's animal and plant resources from pests and diseases, USDA-APHIS must be able to react immediately when pest or disease outbreaks pose a serious economic threat to American agriculture. Public Law 97-46, enacted September 25, 1981, granted the Secretary of Agriculture authority to assist in controlling and eradicating plant pests and contagious or infectious animal and poultry diseases. This Law also empowers the Secretary to transfer funds to APHIS for use in controlling outbreaks of insects, plant diseases, and animal and poultry diseases. Although the Secretary is authorized to transfer funds from any USDA agency or corporation, the funds are typically transferred from the Commodity Credit Corporation (CCC) and provided to APHIS as no-year funds.

The CCC was created to: stabilize, support, and protect farm income and prices; help maintain balanced and adequate supplies of agricultural commodities, products, foods, feeds, and fibers; and help in their orderly distribution. CCC buys and sells commodities and accumulates losses. Each year, Congress replenishes CCC losses. That replenishment is accomplished through mandatory spending which is not subject to normal appropriations limitations. When the Secretary transfers money to APHIS from CCC, those transfers simply become part of the losses. APHIS' part of these losses is relatively small.

Before APHIS can request the Secretary to transfer funds, however, the Agency must consider whether it can redirect funds from a budget line item or if other funding sources are available. APHIS will consider the total estimated amount of funding needed to address the issue and whether the program has political support prior to deciding whether or not to seek a CCC transfer.

Responsibilities:

Recommended Plan of Action from Program Deputy to the Administrator -

The manager of the program in question should identify the following:

- nature and extent of the problem,
- potential consequences of not addressing the problem,
- specific actions required to address the problem,
- estimated timeframe for program success,
- estimated funding, and
- staff years and other resource means needed to combat the pest or disease outbreak.

The Deputy should approach the Administrator for initial support in proceeding with developing the request for additional funds.

Memo from PPD-BPAS (APHIS' Budget Office) –

Once the Administrator has given initial approval to proceed with the request, PPD-BPAS is responsible for preparing a Decision or Options Memo for the Secretary. A Decision Memo should be prepared if there are no options identified other than to fund or not fund the entire suggested course of action. An Options Memo should be prepared if there are alternative program and funding levels available and should indicate the position of industry and other agencies regarding the options. Either Memo should include information listed previously, as well as an historical cost-share analysis, and a detailed object-class budget.

The Memo should also address the following frequently asked questions from OBPA:

- Summary of long-term plan and objectives, as well as the need to control or eradicate the pest or disease
- Plans for interacting with cooperators (division of responsibilities), performance milestones, and the estimated cost to complete the program

- Need for, and status of, any related regulatory action
 - Status of current year appropriated funds (compared to that year's budget request), pending budget requests, and a brief discussion of next year's budget and Congressional action (if applicable)
 - Description and rationale for proposed compensation payments, where applicable
 - In the budget, the rationale for purchasing instead of leasing any major equipment, if applicable
2. The Memo is cleared by the responsible Unit's Deputy Administrator, BPAS, and the APHIS Administrator. Once approved, the Memo is submitted to OBPA. From the time APHIS submits a Memo to OBPA, the approval process routinely takes over a month to run its course.
 3. Once OBPA reviews the request and obtains clearances from the Assistant Secretary and Secretary, the justification and apportionment are submitted to OMB.
 4. OMB reviews the request and approves the transfer of funds.

Apportionment for OMB –

Once OBPA approves the Memo, APHIS-PPD-BPAS prepares a justification for OMB. The justification includes all of the information from the Decision or Options Memo except for the signature blocks and options. Also submitted to OMB is an apportionment prepared by MRPBS' BEST staff, APHIS' budget execution section, outlining the current status of funding transfers to APHIS. OBPA will forward the Apportionment Request, an apportionment schedule (SF-132), and the justification to OMB.

The CCC transfer is complete when BEST receives a Non-Expenditure Transfer (SF-151) that is approved/processed by the Treasury Department. Program spending cannot begin until this time.

Legal Review –

OGC is responsible for reviewing the material for legal sufficiency. Also, they advise OBPA on any legal issues regarding the funding mechanisms.

Final Approval –

OMB reviews the Apportionment Request for consistency with Administration priorities. They also are responsible for approving or denying the request.

Sequence of Events:

1. The program Deputy approaches the Administrator about requesting CCC funds. Once the Administrator decides to pursue the request, BPAS begins preparing the Memo.

DECISION MEMORANDUM FOR THE SECRETARY

THROUGH: Stephen B. Dewhurst
Director
Office of Budget and Program Analysis

THROUGH: Bill Hawks
Under Secretary
Marketing and Regulatory Programs

FROM: W. Ron DeHaven
Administrator

SUBJECT: Funding to Address the Outbreak of Mediterranean Fruit Flies (Medfly) in Tijuana, Mexico.

ISSUE:

Should the Secretary transfer \$9.977 million of emergency funding from the Commodity Credit Corporation (CCC) to APHIS to address the Medfly outbreaks on the U.S./Mexico border?

BACKGROUND:

In late September 2004, USDA personnel in Mexico detected several adult and larval Medflies outside Tijuana, Mexico - 6 miles from the U.S. border (Enclosure 1). As a result of these detections APHIS, The Mexican Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food (SAGARPA), and affected States promptly entered into a collaborative emergency effort using the Incident Command System to address this extremely dangerous threat to U.S. agriculture. To date, the infestation has been very heavy in the core and surrounding buffer area. Ninety-nine adult Medflies have been trapped with over 860 larvae detected since the program initiated.

Program Activities:

APHIS urgently needs emergency funding to address this new unexpected outbreak. The program will use funds to produce sterile Medflies, to release bait spray and sterile flies through aerial contracts, and to increase trap maintenance, travel, equipment, and supplies. We plan to continue eradication activities through FY 2005 to prevent the flies from spreading to the United States. If the outbreak is more widespread than current trapping data suggest, APHIS may need increased funding to address the broader outbreak and protect U.S. agricultural resources. APHIS will be operating inside Mexico under a 1981 Cooperative Agreement with Mexico to jointly control fruit flies in Mexico. This is the same cooperative agreement used in southern Mexico for the unified Moscard Program operations.

Mexico:

SAGARPA and APHIS - in cooperation with California – have determined the initial extent of the outbreak by setting over 1,600 traps in an 81-square-mile area around the initial detection zone. To assure that the Medfly does not spread to Arizona and California and is eradicated from Tijuana, SAGARPA is spraying the organic bait Spinosad by ground and air in southern Tijuana to suppress the flies' population. In addition, SAGARPA with APHIS' help is stripping fruit trees of host material and conducting surveys of Medfly host fruits. After aerial spraying has concluded, APHIS - in cooperation with SAGARPA - will begin releasing sterile fruit flies to eradicate the flies from Mexico and prevent the threat of spread to the United States. Along with the eradication activities, a public relations campaign is being conducted to advise and inform the public of program operations. SAGARPA has quarantined the municipality of Tijuana and has begun to restrict the movement of host material from the core infested area.

United States:

In addition to the response activities in Mexico, APHIS and the CDFA have extended their highly successful Preventive Release Program (PRP) into a 251-square-mile area of San Diego County. The purpose of this expanded PRP is to prevent Medfly establishment with continuous releases of 100,000 adult sterile Medflies per square mile. The dispersion of 25 million of adult sterile Medflies on the U.S. side of the border will prevent any wild fly introductions that escape the main population in southern Tijuana. In addition to these releases, the PRP conducts detection trapping, larval survey of Medfly host fruits, fly identification, and data management to monitor all efforts as well as the program's effectiveness. The PRP has distributed sterile Medflies over the Los Angeles Basin since 1996, with outstanding results. In a seven-year period before the start of the PRP, an average of 7.5 Medfly infestations were detected in California each year. Over the last eight years, there have been just two infestations. The PRP has a 97 percent success rate since its inception. Arizona and New Mexico have also increased the number of surveillance traps set along the Mexican border. Arizona Governor Napolitano recently issued an emergency declaration for her State and released \$200,000 to support efforts by the Arizona Department of Agriculture to enhance detection trapping and inspections. These measures are vital to monitor for Medfly incursions into Arizona and protect one of the world's most significant agricultural production areas – Yuma County, Arizona. APHIS and the New Mexico Department of Agriculture have placed Medfly detection traps around chile pepper processing plants, three ports of entry on the southern border with Mexico, the State Department of Transportation check points, and the southern Department of Homeland Security Customs and Border Protection check points. Also, APHIS will begin a seasonal fruit fly trapping program in New Mexico for early detection of target fruit flies in the State.

Consequence of no additional funding:

The Medfly is the most economically significant fruit fly and is already a serious agricultural and economic threat in Mexico and Central America. The infestation in Tijuana is considered a very serious threat to both the United States and Mexico and is found only 6.5 miles from the U.S. border. Ninety-nine adults and over 860 larvae have been detected by APHIS and SAGARPA since the program started in late September. The Medfly attacks citrus, stone fruit, deciduous fruit and several hundred other fruits and vegetables. Approximately 80 percent of U.S. citrus is susceptible to Medfly. The Medfly threatens the marketability of U.S. grown fruits and vegetables, especially from California. Without any additional funding to address this issue on both sides of the border, we would likely experience additional costly outbreaks near Tijuana and across the entire southern U.S. border. Domestically, the lack of additional funding would compromise the frequency and effectiveness of fly releases in either San Diego County or the Los Angeles Basin, or both. This would very likely create an additional emergency situation requiring 1 million additional dollars. If the Medfly were to become permanently established in the United States, the estimated economic loss would exceed \$2 billion annually, due to direct crop loss, job loss, trade embargoes, increased pesticide use, lost export markets, production losses, and lower domestic prices for over 250 types of commodities. Domestic Medfly establishment would quickly strain trade agreements and halt any progress in opening future markets. Also, domestic outbreaks would give our trading partners reason to doubt our control measures. For example, they could refuse to recognize our quarantine zones or institute requirements involving the treatment of fruits and vegetables prior to export or movement across State borders. In addition to the trade losses, if the Medfly were to establish itself in the United States, it would ultimately require a costly and extremely problematic eradication program. Previous Medfly outbreaks in California and Florida have cost States and the Federal Government hundreds of millions of dollars to eradicate. Failing to control the current threat at the source creates an unacceptable risk for the multi-billion dollar agricultural industry, particularly in vulnerable growing regions in Arizona, California, and Texas.

RECOMMENDATION BY THE DEPUTY SECRETARY:

Option 1: Deny the request _____

Option 2: Approve the request _____

Discuss with me _____

Date _____

DECISION BY THE SECRETARY:

Option 1: Deny the request _____

Option 2: Approve the request _____

Discuss with me _____

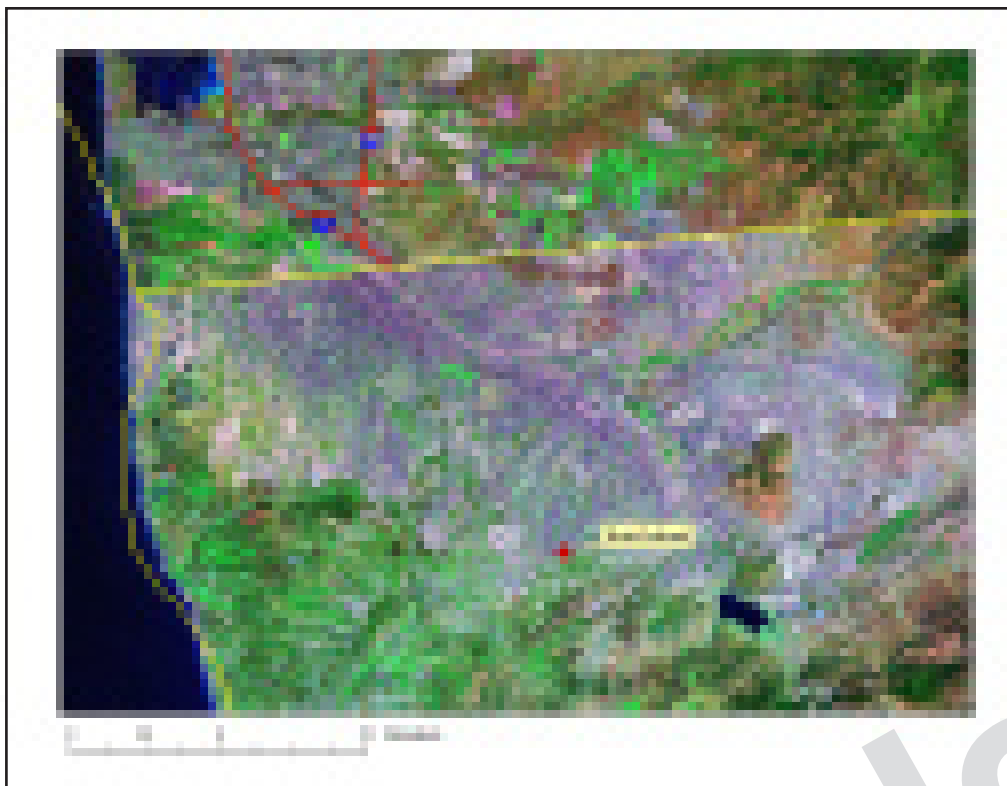
Date _____

Enclosures _____

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Enclosure 1

Medfly outbreak 6–miles from the United States border:



OPTIONS MEMORANDUM FOR THE SECRETARY

THROUGH: Larry Wachs
Director
Office of Budget and Program Analysis

THROUGH: Bill Hawks
Under Secretary
Marketing and Regulatory Programs

FROM: W. Ron DeHaven
Administrator

SUBJECT: Request for Transfer of Commodity Credit Corporation (CCC) Funds to Continue the Enhanced Surveillance Activities for Bovine Spongiform Encephalopathy (BSE).

ISSUE: Should the Secretary transfer \$15 million to the Animal and Plant Health Inspection Service (APHIS) to continue the BSE Enhanced Surveillance Plan for an additional two months?

BACKGROUND:

On December 23, 2003, the U.S. Department of Agriculture (USDA) diagnosed a presumptive positive case of BSE in an adult Holstein cow in the State of Washington. The following day, countries worldwide placed a ban on U.S. beef. On June 1, 2004, APHIS began an enhanced BSE surveillance effort with \$76.4 million transferred from the CCC. The Agency's goal was to test as many cattle as possible in high-risk populations in a 12 to 18-month period.

STATUS:

From June 1, 2004 through May 22, 2005, APHIS tested 362,632 samples for BSE. All tested negative. The Agency collected the samples at a variety of locations. The majority were collected at rendering facilities and (3D-4D) plants. By May 31, 2005, after a 12 month enhanced surveillance duration, APHIS will obligate the entire CCC transfer from June 2004. The obligations supported activities such as licensing of rapid tests, setting up of a national laboratory network, testing and certifying laboratories, building an incident command structure, coordinating with interagency partners, and collaborating with States that are key to the success of this program.

The Agency is requesting \$15 million in additional funding from the CCC to continue this enhanced surveillance effort to collect and test approximately 75,000 additional samples within two months. Further BSE enhanced surveillance will reinforce to our trading partners that U.S. risk mitigations are effective and U.S. beef is safe, thus allowing critical export markets to reopen. APHIS officials have worked diligently with each government to negotiate the lift of trade ban. In April 2005, Taiwan lifted its ban to allow boneless beef from cattle slaughtered in the United States at an age under 30 months, a \$56 million market for U.S. producers. The Agency continues to negotiate with foreign government officials on lifting U.S. beef trade bans. For instance, Agency officials are working with the governments of Japan and South Korea to lift the trade ban, respectively a \$1.4 billion and \$814 million market for U.S. producers.

PROGRAM COSTS:

The Fiscal Year 2005 Consolidated Appropriations Act included \$17 million for BSE-related activities to collect and test 40,000 samples, which has since changed with the additional CCC funding to conduct enhanced surveillance. To date, the Agency has obligated \$5.4 million for employee salary and benefits (for both permanent and term appointments) at the National Veterinary Services Laboratories and regional offices to conduct surveillance, collect samples, and provide support to negotiate and manage the contracts at the labs. APHIS plans to obligate \$2.5 million for State cooperative agreements to collect samples; \$2.5 million to equip five additional labs to test samples for BSE; and \$3.5 million for remaining salary and benefits. For the months of August and September, APHIS anticipates to collect and test approximately 6,700 samples at a cost of \$1.3 million. The remaining \$1.8 million will support the transition from the enhanced surveillance program to maintenance mode. The following outlines the costs and results of two options:

Option 1: One Additional Month of Enhanced Surveillance

To fund an additional one month of enhanced surveillance, APHIS would need \$8 million. This includes approximately \$332,500 for salary, benefit, and travel expenses of 80 personnel; \$7 million for shipping samples and transporting animals and animal carcasses, storing carcasses while samples are being tested, and disposing of suspect animals; and \$375,000 for supplies, materials, printing, and rental costs. With the additional funds, APHIS will collect and test 37,500 samples within one month.

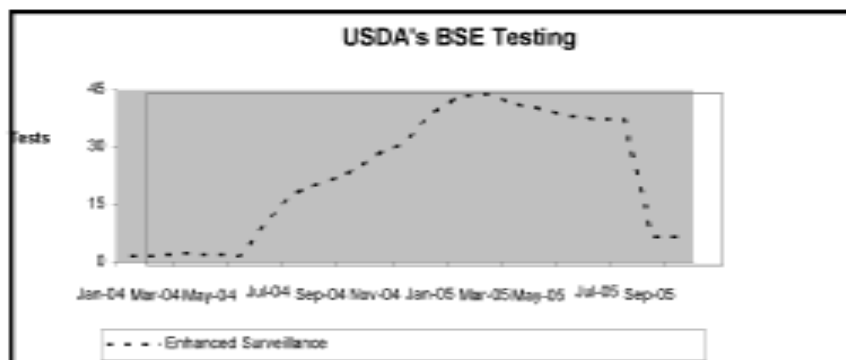
See Enclosure 1.

Option 2: Two Additional Months of Enhanced Surveillance

To fund an additional two months of enhanced surveillance, APHIS would need \$15 million. This includes approximately \$665,000 for salary, benefit, and travel expenses of 80 personnel; \$13.45 million for shipping samples and transporting animals and animal carcasses, storing carcasses while samples are tested, and disposing of suspect animals; and \$750,000 for supplies, materials, printing, and rental costs. With the additional funds, APHIS will collect and test 75,000 samples within two months.

See Enclosure 2.

The difference between the two options is the number of samples collected. With Option 1, APHIS will collect and test 47,550 samples for BSE from June 1 until September 30, 2005; assuming that the surveillance will transition from enhanced surveillance to maintenance surveillance on July 1. With Option 2, the Agency will collect and test a total of 81,700 samples in the same 4 month period of time, while only expending an additional \$7 million for the month of July because of increased



APHIS prefers Option 2. This option will provide resources to continue enhanced surveillance and maintenance at a higher level. Our trading partners will have confidence in our methods of collecting and testing samples for BSE. Ultimately, this surveillance will help convince our trading partners to re-open their markets to US beef.

RECOMMENDATION BY THE DEPUTY SECRETARY:

Option 1: Deny the Request _____

Option 2: Approve the Request _____

Discuss with me _____

Date _____

DECISION BY THE SECRETARY:

Option 1: Deny the Request _____

Option 2: Approve the Request _____

Discuss with me _____

Date _____

Option 1: One Additional Month of Enhanced Surveillance**OBJECT CLASS BREAKOUT FOR BSE NATIONAL SURVEILLANCE PLAN
FROM JUNE 1- 30, 2005**

MOC	DESCRIPTION	AMOUNT
1100	Personnel Compensation	\$275,000
	<u>National Animal Health Program Staff</u>	
	2 GS-13/14 Staff Veterinarians	16,000
	1 GS-9/11 Program Analyst	4,750
	<u>National Veterinary Services Laboratories (NVSL)</u>	
	6 GS-5/8 Laboratory Technicians	18,650
	3 GS-9/11 Pathologists (Lab Inspect/Proficiency Tests)	14,000
	1 GS-14/15 Supervisor	8,000
	2 GS-9 Lab Managers	7,600
	2 GS-4 Shipping/Receiving	4,500
	<u>Center for Veterinary Biologics (CVB)</u>	
	2 GS-13 VMOs (rapid screening tests)	13,100
	2 GS-8 Program Analysts	6,900
	<u>Field</u> 53 GS-5/7 AHTs or contractors to collect samples	157,000
	4 GS-9 BSE ID coordinators	15,250
	<u>Veterinary Services Regional Offices (WRO, ERO)</u>	
	2 GS-9/11 Program Analysts	9,250
1200	Personnel Benefits	27,500
	Benefits @ 10 percent of \$275,000	
2100	Travel Costs	30,000
	<u>National Animal Health Program Staff</u>	
	11 trips for meetings, field visits, contract labs @ \$2,000/trip	22,000
	<u>Environmental Assessment</u>	
	4 trips in support of EA @ 2,000/trip	8,000

2200	Transportation of Things	369,500
	Shipping costs for samples and return of boxes and supplies to collection sites: 37,500 samples @ \$0.866	32,475
	Shipping costs for samples from coop labs to NVSL: average of 4 labs x 260 days/year x \$8.90 shipment	4,650
	Transportation of animals/carcasses for sampling or disposal: All rapid-screening-test suspects 750 animals x 200 miles x \$2.25/loaded mile;	332,375
2400	Printing and Reproduction	2,050
	<u>Environmental Assessment</u> Printing costs associated with EA	2,050
2500	Other Services	6,930,500
	Blanket purchase agreements with contract labs to test 37,500 samples @ \$12/sample	450,000
	<u>Field</u> Fee-basis collection by accredited vets @ \$100/sample x 37,500	375,000
	Vehicle leases (1 month lease @ \$550/month for 62.5 vehicles)	206,250
	<u>Field/Industry</u> Costs associated with carcass/offal/product storage until test results are returned or carcass is disposed: 37,500 @ 100 (average)	3,750,000
	Disposal of rapid screening test suspects and assorted other carcasses (on farm sampling, etc., that will need disposal) by land filling. Estimate 11,000 carcasses averaging 2000 lb/animal and 0.10/lb land filling cost.	2,096,850
	<u>VS Regional Offices</u> Agreements with Native American Tribes for BSE surveillance on Tribal lands	50,000
	<u>Environmental Assessment</u> Contract for outside expertise	2,400

2600	Supplies and Materials	190,000
	<u>National Animal Health Program Staff</u>	
	Supplies	1,500
	<u>NVSL</u>	
	250 new shipping boxes @ \$265.00/box	66,250
	37,500 shipping supplies @ \$1.09 (cooler box, absorbent pads, centrifuge tubes, etc.)	40,875
	1,455 IHC confirmations of screening test suspects and QA samples @ \$25/sample	36,375
	75,000 screening test kits @ \$12/kit	45,000
3100	Equipment	175,450
	<u>National Animal Health Program Staff</u>	
	Office equipment	2,950
	<u>CVB</u>	
	Equipment for CVB (freezers, PCR hood, ELISA plate washer)	75,000
	Miscellaneous equipment	97,500
	GRAND TOTAL	\$8,000,000

Option 2: Two Additional Months of Enhanced Surveillance

OBJECT CLASS BREAKOUT FOR BSE NATIONAL SURVEILLANCE PLAN FROM JUNE 1 - JULY 31, 2005

MOC	DESCRIPTION	AMOUNT
1100	Personnel Compensation	\$550,000
	<u>National Animal Health Program Staff</u>	
	2 GS-13/14 Staff Veterinarians	32,000
	1 GS-9/11 Program Analyst	9,500
	<u>National Veterinary Services Laboratories (NVSL)</u>	
	6 GS-5/8 Laboratory Technicians	37,300
	3 GS-9/11 Pathologists (Lab Inspect/Proficiency Tests)	28,000
	1 GS-14/15 Supervisor	16,000
	2 GS-9 Lab Managers	15,200
	2 GS-4 Shipping/Receiving	9,000
	<u>Center for Veterinary Biologics (CVB)</u>	
	2 GS-13 VMOs (rapid screening tests)	26,200
	2 GS-8 Program Analysts	13,800
	<u>Field</u>	
	53 GS-5/7 AHTs or contractors to collect samples	314,000
	4 GS-9 BSE ID coordinators	30,500
	<u>Veterinary Services Regional Offices (WRO, ERO)</u>	
	2 GS-9/11 Program Analysts	18,500
1200	Personnel Benefits	55,000
	Benefits @ 10 percent of \$550,000	
2100	Travel Costs	60,000
	<u>National Animal Health Program Staff</u>	
	22 trips for meetings, field visits, contract labs @ \$2,000/trip	44,000
	<u>Environmental Assessment</u>	
	8 trips in support of EA @ 2,000/trip	16,000

2200	Transportation of Things	739,000
	Shipping costs for samples and return of boxes and supplies to collection sites: 75,000 samples @ \$0.866	64,950
	Shipping costs for samples from coop labs to NVSL: average of 4 labs x 260 days/year x \$8.90 shipment	9,300
	Transportation of animals/carcasses for sampling or disposal: All rapid-screening-test suspects 1500 animals x 200 miles x \$2.25/loaded mile;	664,750
2400	Printing and Reproduction	4,100
	<u>Environmental Assessment</u> Printing costs associated with EA	4,100
2500	Other Services	12,861,000
	Blanket purchase agreements with contract labs to test 75,000 samples @ \$12/sample	900,000
	<u>Field</u> Fee-basis collection by accredited vets @ \$100/sample x 75,000	750,000
	Vehicle leases (2 month lease @ \$550/month for 62.5 vehicles)	412,500
	<u>Field/Industry</u> Costs associated with carcass/offal/product storage until test results are returned or carcass is disposed: 75,000 @ 100 (average)	7,500,000
	Disposal of rapid screening test suspects and assorted other carcasses (on farm sampling, etc., that will need disposal) by land filling. Estimate 16,000 carcasses averaging 2000 lb/animal and 0.10/lb land filling cost.	3,494,250
	<u>VS Regional Offices</u> Agreements with Native American Tribes for BSE surveillance on Tribal lands	100,000
	<u>Environmental Assessment</u> Contract for outside expertise	4,800

2600	Supplies and Materials	380,000
	<u>National Animal Health Program Staff</u>	
	Supplies	3,000
	<u>NVSL</u>	
	500 new shipping boxes @ \$265.00/box	132,500
	75,000 shipping supplies @ \$1.09 (cooler box, absorbent pads, centrifuge tubes, etc.)	81,750
	2,910 IHC confirmations of screening test suspects and QA samples @ \$25/samples	72,750
	75,000 screening test kits @ \$12/kit	90,000
3100	Equipment	350,900
	<u>National Animal Health Program Staff</u>	
	Office equipment	5,900
	<u>CVB</u>	
	Equipment for CVB (freezers, PCR hood, ELISA plate washer)	150,000
	Miscellaneous equipment	195,000
	GRAND TOTAL	\$15,000,000

Incident Command System and APHIS Emergency Response

To respond to animal or plant health emergencies in the United States, APHIS follows the guidelines and principles of the National Incident Management System (NIMS). NIMS integrates existing management practices into a consistent, nationwide approach to incident management that is applicable at all jurisdictional levels and across functional disciplines.

When managers and staff officers prepare APHIS' emergency response proposals, it is important to include information about the main components and common vocabulary of the NIMS. The basic components include:

1. Command and Management

This component should describe all parts of the management framework, including

- Incident Command System (ICS), which defines the operating characteristics, interactive management components, and structure of incident management and emergency response organizations engaged throughout the life cycle of an incident;
- Multi-agency Coordination System, which defines the cooperation arrangements of supporting incident management entities engaged at the Federal, State, local, tribal, and regional levels;
- Public Information Systems, which describe the processes for communicating timely and accurate information to the public during an emergency situation;
- Management by Objectives, which includes establishing long-term overarching objectives for the incident and developing an incident action plan (IAP) for the relevant planning cycle, with procedures and protocols to achieve the objectives;

- Ongoing management and maintenance, which provides information about the type of emergency situation at hand, the strategic direction for and oversight of the ICS set up to manage this type of emergency, and the activities and processes that will support both routine review and the continuous refinement of the system and its components over the long term.

2. Preparedness

This component provides information about the level of preparedness to deal with the emergency incident. The documentation should describe the strengths and weaknesses of the responding APHIS unit, for the main preparedness criteria:

- Emergency action authorities in place;
- Advanced or preliminary plans ready for use for the current incident;
- Level of expertise and previous training on ICS procedures, discipline-specific incident management, and use of supporting technologies, and previous emergency exercises relevant to the current incident (This includes an inventory of personnel qualified or certified to perform the ICS functions);
- Equipment and facilities available to deal with the incident at hand;
- Emergency authorities, mutual aid agreements, and standard operating procedures in place for finance and administration and logistics functions of the ICS for various types of emergency situations.

3. Resource Management

This component describes all resource requirements (including human resources) of the incident at hand, along with the processes to identify, inventory, mobilize, dispatch, track, and recover those resources over the life-cycle of the incident. This includes the technology and systems to provide supporting capabilities essential to implement and refine the ICS. One key document for this component is a mutual agreement for Federal-State financing of the incident at hand.

4. Communications and Information Management

This component is critical for well-informed crisis decision-making and includes:

- Incident Management Communications, which describes processes and systems to support a wide variety of incident management activities across agencies and jurisdictions;
- Information Management, which describes the processes and systems to ensure that information flows efficiently through a commonly accepted architecture to support all the agencies and jurisdictions involved. This is critical for well-informed crisis decision-making.

Reading List

1. *Practical Evaluation*: Michael Quinn Patton. Sage Publications, 1982.
2. *Evaluation: A Systematic Approach*—4th edition. Rossi and Freeman. Sage Publications, 1989.
3. *Activity Based Management in Government*. Kehoe, Dodson, et. al. Coopers & Lybrand, LLP, 1995.
4. *The Executive Guide to Strategic Planning*. Below, Morrissey & Acomb. Jossey-Bass Publishers, 1988.
5. *Strategic Planning for Public and Nonprofit Organizations*. John Bryson. Jossey-Bass Publishers, 1988.
6. *The Business of Government*. Kessler & Kelley. Management Concepts Inc., 2000.
7. *Team Based Strategic Planning*. C Davis Fogg
8. *John P. Kotter on What Readers Really Do*: John Kotter
9. *Serving the American Public: Best Practices in Customer-Driven Strategic Planning*. Federal Benchmarking Consortium
10. *Strategic Planning*. American Productivity and Quality Center
11. *The Wisdom of Teams*: Jon R. Katzenbach and Douglas K. Smith
12. *Evaluation and Effective Public Management*: Joseph Wholey. Little, Brown and Company, 1983.

New Program Development Checklist

Each APHIS line program (VS, WS, PPQ, AC, BRS, & IS) may have its own strategic planning or administrative units that can assist in addressing many of these items. If this is the case, they should be contacted for their assistance before contacting one of the support units listed below. However, if your program needs additional support, please use the list of additional contacts under the subheadings.

I. Strategic Planning

A. Long-term Strategy Planning:

Consult with PPD's Planning Evaluation & Monitoring Staff (PEM) on:

1. Program's mission and long term goals
2. Program's relationship to:
 - a. The APHIS Strategic Plan and USDA Strategic Plan
 - b. The President's Management Agenda
3. Identify emerging issues, trends, or external developments that will affect the Program
4. Identify Broad Strategies to be used to accomplish Program mission
5. Develop buy-in from key customers, stakeholders, and other partners
6. Develop processes to measure long-term accomplishments

Consult with the Information Technology Division on:

1. The Department's Enterprise Architecture Repository

B. Operational (Annual, Multiyear) Planning

Consult with PPD's PEM Staff on:

1. Development of a Program Logic Model:
 - a) main activities or processes to be conducted/ primary resources (inputs) used
 - b) immediate products (outputs) produced
 - c) performance measures to monitor Program's progress

Coordinate Technical Planning with:

7. Regional & Area Offices: Develop realistic plans for how field work will get done.
8. Diagnostic Labs & Research Units: Identify & discuss any laboratory or epidemiology support needed.
9. Emergency Management: Identify any emergency responses or public health concerns.
10. IES: Identify any enforcement activities needed as part of program operations.
11. National Surveillance Programs: Develop surveillance components consistent with related national surveillance units.
12. Permitting and Trade Units: Discuss impact of program activities on trade and disease status reporting.

C. Authorities & Regulatory Planning

Consult with PPD's RAD, PAD, RAS, and ES staffs on:

1. Laws and Executive Orders that impact APHIS rulemaking & activities
2. Laws providing authority for core Program activities
3. Developing a regulatory work plan Development of non-regulatory guidance documents (e.g., Uniform Methods & Rules)

Consult with LPA's Intergovernmental Staff:

1. If additional legislative authorities may be needed to carry out Program mission

II. Resource Planning

A. Budget Planning & Financial Management

Consult with PPD's BPAS and PAD Staffs on:

1. Specific annual resources for the next several years: money, staff, technology & other capital
2. Potential program funding sources
3. Cost-benefit analyses for overall Program goals and annual increases

Consult with MRPBS's Financial Management, Facilities, & Administrative Services Staffs on:

1. Financial management policies and procedures & accounting reports
2. Establishment of budget allocation structure, accounting structure & codes
3. Determination of needs for agreements, MOUs, and grants
4. Issuance of travel and purchase cards
5. Workspace planning and leasing requirements
6. Procurement, Personal property, and Mail needs

B. Safety Health & Security Planning:

Consult with MRPBS's National Security Team & the Safety, Health & Employee Wellness Branch on:

1. Hazard assessments, incl. defensive driver training, hazardous chemicals/materials, and hazardous conditions
2. Personal protection equipment needs
3. Medical Surveillance coordination with Federal Occupational Health
4. Security concerns (countermeasures, clearances, guard services, etc.)
5. Environmental concerns

C. Human Capital Planning:

Consult with MRPBS's Human Resources Division and the ODA to:

1. Determine organizational placement (including determining the need for a DR 1010 analysis)
2. Develop or revise functional statements as needed
3. Explore staffing options including: pay/recruitment flexibilities, contracting, etc.
4. Determine personnel suitability (security clearance)
5. Establish new positions/update current positions
6. Identify labor relations impact
7. Create employee training & development curriculum (in consultation with Veterinary Services)

Consult with CREC for:

1. Civil Rights Impact Analysis determination

D. Information Technology Planning & Records Management

Consult with the Information Technology Division on:

1. Planning and use of Information Technology Systems (e.g., security and technology issues)
2. Technical requirements & standards review (hardware/software, database needs, equipment procurement & networking)
3. eGovernment and Government Paperwork Elimination Act (GPEA) issues
4. Records Management issues
5. Paperwork Reduction Act issues (public information collection efforts, including MOUs, agreements, and grants)

E. Communications and Public Information

Consult with Legislative & Public Affairs on:

1. Communication Plan including Stakeholder Outreach
2. Freedom of Information Act (FOIA), Privacy Act, and Data Confidentiality issues
3. Anticipated increases in Congressional correspondence related to the Program

Business Planning

Typical government planning processes have involved three distinct steps.

Step 1: Develop a strategic plan that sets a long-term course for the company, agency or department.

Step 2: Implement that strategic plan by developing annual operational plans.

Step 3: Develop budget plans to obtain funding.

The term “business” is not generally associated with federal bureaucracies or even smaller governmental units. However, under current budgetary constraints, government managers are being asked to think about their mission and strategies in business terms. OMB, Congress, and others reviewing funding requests are looking for information on program results, and asking federal managers “What is the return on my investment in this area, and how can your program run more efficiently?” These types of questions have traditionally been asked of private sector managers, not government managers. In response, some federal managers are developing “business plans” with the intent of shifting the focus from not only performance and results, but performance and results within the context of costs.

Federal managers are most experienced in centralized budget planning. Performance-based management does not reject centralized planning but is supposed to be less dependent on the old mechanisms of centralized monitoring. Instead, central agencies ask line departments to focus on common organizational objectives during the planning process. The underlying idea is uncomplicated: if line departments plan around common strategic priorities and “outcomes” of the organization as a whole, adopt similar performance indicators, and use the information to improve their own policies, programs and approaches to service delivery, a natural integration and coordination of activity should result. Such an approach is supposed to lead to better “horizontal” policy-making and provide decision-makers with a holistic perspective.

Business planning goes beyond typical government planning by establishing courses of action and related budgets based on careful analysis of cost and performance data. Good performance and cost information is critical for good business planning. Business planning also recognizes that results cannot be achieved by a single program or a single department and that horizontal planning will make for more efficient uses of limited government resources by integrating information technology, human resources planning, and real-property management.

What individual federal managers have generally tended to do is develop a single course of action for implementing their strategic plan and then executed it accordingly. Then post-program reviews or evaluations have focused on whether the program accomplished its intended end-result according to the timeframes set in these operational plans. What federal managers have not focused on is examining and combining a wider array of strategies from across organizational units. Business planning can help managers consider this broader array of actions and systematically apply criteria to help decide which mix of activities or strategies should be used and managed as one integrated plan. An important component of the business context should include a competitive analysis of other entities (i.e., state governments, private industry groups, non-profit associations) that may be doing similar or complementary work. Without a clear view of who else is involved in managing or impacting a particular issue, the program’s ability to manage and operate at top efficiency is hampered.

Business planning focuses on answering these kinds of questions:

- What trade-offs is the organization willing to make between money and performance?
- What is the optimum mix of people, technology, and other strategies to get the job done efficiently?

- If the Agency is able to finance only a portion (say 25%) of the project, what will be possible to accomplish?
- Is there a minimum funding level that is needed to get any new project or initiative off the ground? What is it that minimum threshold? (For example, below \$3 million dollars nothing can be done effectively, so the program shouldn't begin.)
- Are there cost-sharing options to consider between my program and other partners or stakeholders?

The emphasis in business planning is in describing the “business” context under which the program is working. This involves a willingness to thoroughly evaluate the external environment and the program’s capacity to confront any changes that need to be made. As noted in chapter 2 under Basic Program Rationale, the Program Logic Model is a tool that serves as a springboard to doing this type of assessment. Listing the External Factors and the underlying assumptions the program operates under can serve as the checklist for beginning this assessment. This assessment of the business context provides the following benefits (Kessler & Kelley, 2000):

- A clear rationale explaining near-term actions that the organization is pursuing and WHY they are essential to achieving outcomes.
- Plausible future scenarios that likely will be confronted.
- A forum that provides the basis for developing real goals and associated strategies to achieve them.
- Specific internal adjustments that must be made if goals are to be achieved.

Lessons Learned in Canada:

(Bernier & Potter, "Business Planning in Canadian Public Administration", *New Directions*, Number 7, 2001.)

Several of Canada's provincial governments as well as the federal government introduced business planning methods into their political systems in the early 1990s. Alberta and Ontario were the first provinces to embark on the results-focused planning and they were driven primarily by the need to reduce deficits and increase accountability. Over time, several others, provinces including Quebec, Saskatchewan, and Ottawa have adapted various business planning principles to their political decision-making processes. While no two provinces have institutionalized these core business planning principles in the same way, there are a few common lessons to share.

1. Good business planning is heavily reliant on good information.
2. Business planning can make government more effective, accountable, and efficient, AND to improve the link between bureaucratic priorities and political objectives.
3. "Corporate" (cross-cutting or horizontal) issues, such as IT, human resource planning, and real-property management, that have tended to be ignored in traditional planning methods are more adequately addressed in a business planning.
4. Business planning has encouraged decision makers to pay more attention to established or baseline programs, not just new programs or budget initiatives.
5. Business planning has been more successful in the more market-oriented government provinces (e.g., Alberta and Ontario) than in more socially democratic-oriented provinces like (Saskatchewan and Quebec).
6. Even in the more market-oriented provinces, business planning, as a private sector activity, doesn't "translate" as clearly into the public-sector due to conflicting political agendas.

So, when should I do business planning?

1. Does your organization have a performance-based culture? Are managers committed to using performance data to make program improvements and to reallocate resources based on it? Managers need to continually collect and analyze the data, and use it to develop and adjust courses of action. This may be difficult if performance-based management culture is not in place and the budget process continues to drive government policy decisions.
2. Does your organization have good cost and performance data? Doing business planning right can be difficult, costly, and time-consuming. Much of the expense is in developing good cost and performance information systems. Much time will need to be devoted to changing existing management systems and attitudes.
3. Is your organization ready to collaborate across boundaries to develop horizontally integrated business plans? All planning requires good management communication but business planning demands continual and substantive conversations up, down, and across the organization to integrate all goals, activities, costs, and performance information.
4. Do your program managers want to increase program accountability? Transparent processes that describe real risks, based on actual performance information, can make a program or department vulnerable to critics.

One important reminder:

Business planning can not be done in a rushed fashion. In an emergency situation it is most important for managers to focus on addressing immediate and urgent needs. In order to achieve the promise of business planning—more effective, efficient, and accountable government programs—a lot more time and effort must be spent training managers and developing performance-based systems.

The VS Template

The following document provides one format being used by program managers in Veterinary Services (VS) to develop business plans for various entities. VS is a complex organization that deals with a wide array of animal health issues and industries. Within VS there has been some question as to what the appropriate “unit of planning” will be for developing these business plans. Should they be developed around each budgetary line item, only for new programs, around an entire animal industry such as poultry producers, or for broad program strategies such as national animal identification?

Because some of the strategies VS will employ over the next several years involve major financial investments, the time is right to embark on business planning and analyses. VS has developed several pilot business plans for their organization and they have developed a template for their program managers to use. It is provided below for your consideration. While it is not the only model that may be used for business planning, it does provide a starting point for program managers.

Veterinary Services Business Plan Template

1. Table of Contents

2. Executive Summary

2.1 Key business information: Summarize the objective (or goal) and purpose of the investment. State the specific or existing problem that this business plan addresses. Summarize the program but not the detail. Try to keep to one page, no more than two.

3. Business Information & Background

3.1 Livestock Health Business: What is the livestock health business (e.g. animal health surveillance, laboratory diagnostics) or other initiative where the investment is targeted?

3.2 Size: What is the size of this business (e.g. 50,000 animals and 2500 farms in 27 states, or 3,000,000 units of vaccine to protect 9M animals)?

3.3 History: Why are you in this business? What is the purpose? Give the reason, rationale, or regulation, if appropriate? If there is regulatory authority involved, cite the relevant authority and/or Congressional Act. Provide a brief history of the disease, program, or initiative.

3.4 Key objectives: What are the key objectives of this investment or the key challenge (e.g. disease, program, initiative)? State these objectives in 1, 3 and 5-year timeframes.

3.5 Key components: What are the key components of this business or segment (e.g. producers, VS regions, states, staff, labs, etc) and what is their role? If possible, provide a relationship or an organizational chart that illustrates.

4. Staff Information and Performance

4.1 Accountable activity: State the directorate, office or division that oversees this business, function, or activity.

4.2 Manager: List the person who is accountable for the business plan performance. The accountable person is responsible for cost, schedule, and performance results. Name the leader and give a brief background of their employment history, experience and education, as appropriate. Write this so that an investor is confident that the business will be managed well.

4.3 Phone: State the preferred contact number

4.4 Other key staff: Key support staff (assistant, etc).

4.5 Management oversight: What office will take steps to address management deficiencies, if necessary?

5. Competitive Analysis

5.1 Competitors: Competitors, simply stated, consist of everybody pursuing the same dollars. Who else operates in this market? For example, what other companies or agencies have the skills to do this function? Consider both private companies and other government agencies (e.g. other units in USDA can perform some of our functions). Provide a broad assessment of their capabilities. Most activities have competitors. Be candid about competitors, even though they introduce risk. Use the opportunity later (in cost analysis section) to showcase VS strengths.

5.2 Program Alternatives: Include a credible analysis of alternatives that include trade-offs between cost, schedule, risk, and performance goals. State whether this program duplicates any Federal, state, local, or private effort? If there is any duplication, state in analytical terms, if possible, how you addressed that duplication and chose Federal or other performance, or why it was not addressed?

5.3 Cost analysis: Can the government reasonably perform this task at a lower cost or more effectively than the private source or other government entity? How do you know? If not, are you proposing that this activity be competed at some point? If not, what is the basis for choosing to keep this as a government-only performance activity? Are there competitive sourcing or IT improvement opportunities that will lead to cost efficiencies? What are they, and what is proposed now or in the longer-term? If there are year-to-year efficiency increases that support the argument, provide them, or reference them if they are in another section.

6. Strategy

6.1 History: History of program in terms of timelines and qualitative or quantitative information including previous investment decisions and failures, if any.

6.2 Current status/assessment: Analysis of animal health disease environment today. What are the challenges, barriers and opportunities? What is the current status of this initiative, program or situation? What are the key components and activities related to this program? What new or emerging forces are facing this program?

6.3 Barriers/Limitations: Are there external management or cost barriers and limitations that impede performance (state, local, legislative, partners)? If so, state them in unemotional terms so that they can be evaluated and addressed at some level. Are there new options to deal with barriers, such as eradication strategies, vaccines, political initiatives?

6.4 Strategy: What, exactly, do you plan to do? Is it control, eradication, monitoring, or nothing? What are the goals/objectives and in what timeframes? Why did you make that choice? What are the key assumptions that you made? What is the strategic and tactical thinking behind this strategy? Are there dependencies or funding questions that limit this strategy? If so, provide a bridge strategy in the event funding is not obtained. Will there be resistance to this approach, and if so, what is your strategy to deal with it? Are all partners committed to annual and long-term goals? If not, what is your strategy to get the commitments needed? Clearly state the anticipated benefits of this strategy.

6.5 Key risks: What are the key risks associated with this program? How did you quantify the risk and what alternatives were considered? How was the risk mitigated, if at all? What are the previous “lessons-learned” and were these previous lessons considered? How did they impact the risk assessment?

6.6 Communication: Is a communication plan needed for this initiative. If so, what is the planned strategy? Have the costs been budgeted or programmed. If not, how do you plan to accomplish your communication strategy?

7. Financial Plan and Information

7.1 Budget and performance integration:

7.1.1 Proposed expenditures and projected outcomes, by year. Include prior year, current year, and future-year budgets or budget requests. Break out the indirect support costs that flow directly from this program. Separately break out support costs such as mission support, administration, personnel, equipment, logistics and IT.

7.1.2 Range of alternatives, evaluation criteria such as cost, schedule, risk, and performance. Is there a supporting business case analysis (BCA) tied to this investment? If so, put in the Appendix. State a clear rationale for choices and decisions that is defensible.

7.1.3 Year-to-year data that displays improved efficiencies in program performance. Present data that shows those improved efficiencies or cost effectiveness in achieving program goals each year. If not, state why this cannot be attained. Quantify investment inputs, outputs, and outcomes.

7.1.4 Strategic human capital management: Show people, training, investments. Include a skill needs analysis and state whether current resources can accomplish this mission. If not, show budget or training requirements. State the strategy to address the gaps between supply and demand and ensure that funding requests or other factors account for the costs associated with training and personnel.

7.1.5 Technology integration: What are the supporting technologies, systems and components? What investments are required, what is the status, and what is funded? Ensure that any system or software proposal addresses the issue of duplication or the opportunity to partner with others in APHIS who require the same capability.

7.1.6 Budget and performance tradeoffs: Show budget and performance tradeoffs at each funding level option.

7.1.7 Financial accountability: The program must have a strong financial management component. State the financial management practices that will ensure accountability for funds.

7.2 Strategic goal supported:

7.2.1 APHIS strategic goal # xx: Write the APHIS strategic goal number and the goal statement that this business plan supports.

7.2.2 VS strategic goal # xx: Write the VS strategic goal number and the goal statement that this business plan supports.

8. Performance Measures

8.1 Objective 1 -Measure 1: State the outcome-based performance measures that are both measurable and represent actual performance for each objective over the 5-year period.

8.2 Objective 2 -Measure 2: Make distinctions that emphasize accountability. Ensure that the measures relate to the investment and that there is no shared accountability for performance, if possible. Identify how, by whom and when performance measures will be collected and analyzed.

9. Appendices & Tables

9.1 Regulatory information

9.2 Agreements

9.3 Important reports or assessment (or references)